

# ANNUAL REPORT & ACCOUNTS

1 April 2015 – 31 March 2016

Health and Safety  
Executive for  
Northern Ireland







Health and Safety Executive for Northern Ireland

# Annual Report and Accounts

For the year ended 31 March 2016

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 of Enterprise, Trade and Investment

13 October 2016



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# HSENI

## Our Values

- We value people as our most important resource.
- We are committed to ensuring exemplary standards of health and safety for everyone.
- We are committed to equal opportunity, openness, respect for individual differences and a workplace free from harassment.
- We foster an environment that encourages personal development allowing everyone to reach his, or her, full potential.
- We believe in a team approach to work with everyone feeling involved, valued and supported.
- We value commitment, motivation, enthusiasm, innovation and creativity.
- We strive for professionalism, quality and excellence in all that we do.

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# Key Facts and Figures for 2015/16

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

- fatalities down 48% to 12, compared to 23 in the previous year;
- fatalities in the agriculture sector down 33% to 6, compared to 9 in the previous year;
- major injuries up 10% on last year and down 3% since a five year peak in 2011-12; and
- all reportable injuries up by 1.4% on last year to 2,777.

## During the year, HSENI:

- continued the Farm Safety Partnership and the implementation of its second Farm Safety Action Plan;
- undertook 767 advisory farm visits and delivered 37 farm safety presentations;
- reached over 8,000 children in 87 rural primary schools with its "Be Aware Kids" farm safety messages;
- involved almost 3,500 pupils from 80 primary schools in its Child Safety on Farms Poster competition and distributed over 39,000 copies of the calendar produced from the winning entries;
- delivered, in conjunction with local councils, 800 inspections focused on the issue of musculoskeletal disorders (MSDs);
- in conjunction with local councils, raised the issue of new and inexperienced employees at over 1,000 inspections;
- delivered 74 health and safety presentations to over 2,000 young people under its SafeStart initiative;
- distributed almost 7,000 copies of its new "Be Safe When You Start" booklet aimed at young people entering the world of work for the first time;
- completed 15 successful prosecutions, which saw fines totalling just over £278,000;
- achieved UKAS Accreditation for its Scientific Services Unit;
- delivered 5,576 inspections and served 155 formal enforcement notices;
- delivered 262 mentoring visits to start-up and existing small businesses (including 52 new construction companies);
- dealt with over 1,900 reportable work-related injuries and almost 840 complaints about alleged unsatisfactory working conditions and activities;
- prepared six sets of regulations and initiated consultations on five regulations and Approved Codes of Practice;
- submitted an Annual Equality Report to the Equality Commission;
- organised four key events which attracted some 390 participants;
- held or attended 326 promotional events including seminars, lectures, workshops and presentations;
- distributed over 130,500 free publications giving health and safety advice;
- dealt with 3,862 calls for information via its freephone Helpline; and
- enabled website visitors to download over 277,000 publication files.

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# Foreword

We are pleased to present HSENI's seventeenth Annual Report and Statement of Accounts. Overall, the total number of all work-related fatalities, including those within areas that are the responsibility of local councils, was 13 in 2015-16 compared to 26 in the previous year.

Whilst we are encouraged by this decrease we remain committed to channelling our efforts into those activities and work sectors where serious injuries and fatalities are known to occur. There was a very small increase in reportable work-related injuries between 2014-15 and 2015-16. The 2015-16 figure reflects a 7% reduction on the 2010-11 figure of 2,975.

In 2015-16 we saw the number of farm related fatalities fall to six, down from nine the previous year. Whilst this number shows more needs to be done by everyone involved, we welcome the decrease.

Progress has been made since the establishment of the Farm Safety Partnership in 2012, with the last 3 years' fatality average showing a 50% reduction compared to the 12 farm deaths recorded in both the 2011 and 2012 calendar years.

Through its second Farm Safety Action Plan, the Farm Safety Partnership (FSP)<sup>1</sup> continued to make a major contribution towards raising awareness of the main health and safety issues facing the farming industry and ensured that important messages and advice were distributed across the industry.

However, the challenge remains to help farmers make the transition from awareness to behavioural change in an industry which has been suffering from depressed incomes due to poor prices for a considerable period of time. We are pleased to report that the number of fatalities in the construction sector fell this year to two compared to five the previous year. Whilst we would like to see zero fatalities, this reduction is noteworthy in an industry which is emerging from a difficult period. We know that work at height remains a high risk activity in construction if not properly managed.

In the year, almost half of the prohibition notices served have dealt with work at height. We have been very active in both promoting safe work with asbestos through media publications as well as making this a priority area for our construction inspectors.

We look forward to continuing our work with the construction industry on matters including health and the introduction of the new Construction Design and Management Regulations.

HSENI, in partnership with the 11 District Councils, focused on a number of issues including a campaign to raise awareness of people who are "New to the Job" staying safe at work. Other joint work with the District Councils in the year included safety around gas.

During the year, HSENI carried out 5,576 inspections of workplaces and served over 155 formal enforcement notices.

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1. The Partnership comprises the Health and Safety Executive for Northern Ireland (HSENI), the Department of Agriculture and Rural Development, the Ulster Farmers' Union, NFU Mutual, the Young Farmers' Clubs of Ulster and the Northern Ireland Agricultural Producers Association. It is chaired by the Chairman of HSENI and its aim is to increase awareness of farm safety and to reduce work-related fatalities and injuries on farms.



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HSENI's front line work in 2015-16 continued to be dominated by investigating a number of significant workplace incidents resulting in deaths and serious injuries, and dealing with a continuing high number of complaints about unhealthy and unsafe workplaces. Investigations by the Major Investigation Team resulted in 15 successful prosecutions which led to fines totalling £278,000.

HSENI's small business advisory service, Health and Safety Works NI (HSWNI), continued to work with start-up and existing small businesses, delivering 262 one-to-one mentoring visits to such businesses to assist them with their management of health and safety.

52 new construction companies received one-to-one advisory visits this year and a comprehensive "construction resource pack", specifically designed to ensure that these companies have ongoing access to appropriate health and safety management information, was launched.

It has been a year of considerable change within HSENI. A number of staff left the organisation under the NICS Voluntary Exit Scheme. We have restructured the organisation to ensure that we remain focused on our priority sectors.

We also undertook a reorganisation of our Services Division to ensure that our public facing work is streamlined and all our frontline staff are supported to continue to deliver a

first rate service.

As part of restructuring, HSENI has amalgamated Health and Safety Works NI fully into HSENI. This ensures that the vital advisory service is still available and closely aligned to the operational groups and our priority issues within HSENI.

In addition, HSENI's commitment to the development and involvement of its own staff was highlighted through the results of a Staff Attitude Survey conducted in September 2015 that showed HSENI to once again have the highest employee engagement index score, and higher scores in all questions, compared to the rest of the NI Civil Service.

2015-16 has been another very challenging year but we remain resolute in our resolve to stop unsafe working practices and make work safer every day.

We are grateful to all those who share our ambition to make Northern Ireland's workplaces as safe as possible.



**Keith Morrison**  
Chief Executive



**George Lucas**  
Chairman

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# 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 2015-16, HSENI was funded by the Department of Enterprise, Trade and Investment (DETI), now known as the Department for the Economy (DfE) following the restructuring of the NICS Departments. 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, subject to the DETI (now DfE) Minister, 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 strategy, as set out in its Corporate Plan for the period 2011 to 2015 (extended for a further year to include 2015-16), derives directly from the long term strategy for the better regulation of health and safety at work in Northern Ireland, conceived and developed in partnership with HSENI's co-regulators, the Northern Ireland District Councils.

The strategy spells out the shared vision, mission and goals that both HSENI and the District Councils will abide by as each delivers its services and meets its targets in their respective enforcement environments.

Accordingly, the shared vision set for the better regulation of health and safety at work in Northern Ireland is: "A place where the sensible control of work-related risk is the norm and work-related deaths, injuries and ill health are the exception."

The essence of the work that we will undertake in pursuit of this broad vision is encapsulated in the following shared mission statement: "To significantly reduce the number of work-related fatalities, injuries and cases of ill health in Northern Ireland."

This mission will be achieved by:

- ensuring that Northern Ireland's health and safety at work regulatory system operates as effectively as possible, supporting businesses and reducing regulatory burdens;
- focusing on the core aspects of workplace health and safety in Northern Ireland, thereby promoting sensible and proportionate risk management by all; and
- targeting District Council and HSENI's resources when appropriate, in a manner that maximises each organisation's ability to prevent harm and secure justice.

In order to assist in the delivery of the above vision, mission and goals, HSENI has established a business model based around the following key objectives:

- to provide the highest standards of service delivery at the regional level;

- to promote key workplace health and safety messages and themes to targeted sectors and groups;
- to communicate appropriate, timely and practical workplace health and safety information and advice;
- to improve compliance with health and safety standards through inspection and investigation activities; and
- to ensure that an effective and up-to-date health and safety at work regulatory framework is maintained.

This year has seen HSENI continue to steer the course it set itself in its Corporate Plan. In the past year HSENI has lost staff through the NICS Voluntary Exit Scheme.

This has resulted in considerable restructuring of the organisation to meet the challenges this has brought. Work is continuing to ensure we prioritise our resources to tackling the greatest risks and maintaining our high level of service delivery.

As we approach the end of the current Corporate Plan we can look back at our many achievements. We have a very successful Farm Safety Partnership which is tackling the well-known hazards in the farming industry. We have worked alongside the waste industry in reducing the injury rates in this sector.

We have made significant progress on other issues such as carbon monoxide safety, safe work at height, legionella control, safe working with asbestos and safe maintenance. As we turn our minds to our next Corporate Plan, we are aware of the need to maintain our efforts in the above areas.

However, against a background of challenging resources, we will focus our energy into tackling those work sectors and activities which are associated with fatalities and life changing injuries.

Principal risks managed by HSENI during 2015-16 were as follows:

- Retention and availability of specialist/ skilled staff;
- Failure to maintain an up-to-date regulatory framework;
- Failure to secure sufficient funding to maintain services;
- Damage to HSENI's Reputation;
- Third party financial loss or legal procedures being instigated;
- Failure to prevent and detect fraud and a failure to report suspected fraud;
- Major disruption to business; and
- Emerging Risks, which during 2015-16, included:
  - 'Funding' due to potential budget cuts;
  - 'Disruption' to business due to relocation from Longbridge House and renovation work in Ladas Drive; and
  - 'Staff' due to the potential implications of the Voluntary Exit Scheme.

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

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The financial results of HSENI are set out in the Annual Accounts. The net cost of operations (i.e. net expenditure) for the year was £6,795,000.

HSENI is committed to the prompt payment of bills for goods and services. In November 2008, in order to help local business in the worsening economic climate, Minister Dodds announced that Northern Ireland Departments and NDPBs were being set a target of ensuring that invoices for all businesses are paid within 10 days of receipt, regardless of payment terms. Quarterly analysis has indicated that, during the year, HSENI paid 99.7% of its invoices within 10 working days (2014-15: 99.4%). HSENI paid 100% of its invoices within 30 days (2014-15: 100%). This policy on prompt payment is expected to continue in the 2016-17 financial year.

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

This performance report provides a balanced and comprehensive analysis of the development and performance of HSENI's business during 2015-16 and includes the following sections on Performance through to Statistics. As regards financial performance, HSENI operated during 2015-16 within the budget allocated to it by its sponsor department, the Department of Enterprise, Trade and Investment, and budget expenditure at year end was within the acceptable tolerances permitted by the Department of Finance and Personnel.

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.



**Keith Morrison**  
Chief Executive  
15 June 2016

# Performance Analysis

This section details HSENI's performance against operating plan targets during 2015-16.

## Service Delivery

To provide the highest standards of service delivery at the regional level.

Key Areas	Targets	Progress
Quality of Service	Continue to operate a quality management scheme and maintain UKAS Accreditation for HSENI's scientific services by 31 March 2016.	<b>Target Achieved</b> In December 2015 Scientific Services achieved 31 years of 3rd party accreditation by UKAS.
	Monitor service delivery targets to ensure that the standards set out in HSENI's Customer Care Charter are being met by 31 December 2015.	<b>Target Achieved (after target date)</b> Survey completed 11 – 15 January 2016. Results showed all standards are met.
Efficiency	To work in partnership with the District Councils in delivering joint working activity on priority topics and projects, covering 'new on the job' by 31 March 2016.	<b>Target Achieved</b> Joint working activity on 'new on the job' delivered as planned.
	During 2015-16, all case files will be presented to the Public Prosecution Service for Northern Ireland (PPSNI) in accordance with the Service Level Agreement in place.	<b>Target Achieved</b> All case files have been dealt with in this way.
	Through a range of Cross Border Working Groups, involving representatives from both HSENI and the RoI's Health and Safety Authority, facilitate the sharing of information and best practice in areas such as construction, agriculture, extractive industries and major hazards during 2015-16.	<b>Target Achieved</b> A series of meetings were held on relevant areas throughout the year.
	HSENI will work in partnership with the NI Environment Agency to review and comment on 4 submitted safety reports for Top Tier COMAH sites by 31 March 2016.	<b>Target Achieved</b> This target was achieved as part of HSENI's inspection programme.
Access to information	Publish minutes of all HSENI Board and Senior Management Team meetings held during 2015-16 on HSENI's website.	<b>Target Achieved</b> All minutes are published on HSENI's website.
	Publish an Annual Report and Statement of Accounts for 2014-15 by 30 September 2015.	<b>Target Achieved</b> Annual Report published on 22 September 2015.
	Publish information on HSENI's website relating to enforcement notices served and prosecutions taken on HSENI's behalf during 2015-16.	<b>Target Achieved</b> Prohibition and improvement notices published as planned.

# Promotion

To promote key workplace health and safety messages and themes to targeted sectors and groups.

Key Areas	Targets	Progress
Priority issues	The delivery of a multi-media Farm Safety campaign in line with the Farm Safety Partnership's Action Plan 2014 – 2017.	<b>Target Achieved</b> Multi-media Farm Safety Campaign delivered as planned for 2015-16.
	<b>Hold a series of targeted events in conjunction with partner organisation by 31st March 2016, including:</b>	
	A seminar for the licensed asbestos industry.	<b>Target Achieved</b> Seminar held on 16th March 2016.
	Three seminars to employers on management standards.	<b>Target Achieved</b> Seminars held on 3rd June 2015, 24th September 2015 and 2nd December 2015.
	Three meetings of the Waste Industry Safety and Health (WISHNI) forum.	<b>Target Achieved</b> Meetings held 13th April 2015, 1st September 2015 and 10th November 2015.
	To deliver the objectives set out in the Farm Safety Partnership Action Plan (identified for HSENI) by March 2016.	<b>Target Not Fully Achieved</b> All of the targets in the Farm Safety Partnership Action Plan (identified for HSENI) for action by March 2016 were achieved apart from the target re: 1,000 inspections during the current year. 767 inspections were undertaken rather than the 1,000 in the Action Plan.
Vulnerable Groups	To exhibit at the CAFRE campuses to raise awareness and provide health and safety information to students by December 2015.	<b>Target Achieved</b> Exhibited at all 3 campuses. Greenmount campus on 30th September 2015, Enniskillen campus on 7th October 2015 and Loughry campus 14th October 2015.
Small Businesses	Through its small business advisory service, Health and Safety Works NI (HSWNI), deliver 6 health and safety seminars/workshops for small businesses in partnership with other organisations by 31 March 2016.	<b>Target Not Achieved</b> 5 workshops completed, 1 workshop cancelled due to low numbers registered to attend.
	Run two seminars for smaller builders in Enniskillen and CITB.	<b>Target Achieved</b> Seminars held on 27th May 2015 in Enniskillen and 20th January 2016 in CITB.

# Information

To communicate appropriate, timely and practical workplace health and safety information and advice.

Key Areas	Targets	Progress
Priority issues	To update the Health and Safety Works NI website with roof work and new workers information by June 2015.	<b>Target Achieved</b> Completed.
	Distribute 6,000 copies, including downloads, of HSENI's "Be safe when you start" booklet to young people and students entering the world of work for the first time by 31 March 2016.	<b>Target Achieved</b> 6951 copies – 6721 distributed and 230 copies downloaded.
	Deliver 10 presentations to students and apprentices to raise awareness of asbestos in their industry.	<b>Target Achieved</b> 14 talks completed.
	Deliver farm safety presentations to children in 80 rural primary schools on the health and safety issues around helping, working or playing on farms by 31 March 2016.	<b>Target Achieved</b> Presentations delivered to 87 rural primary schools to date – over 8,000 pupils.
Vulnerable Groups	To design and print a child safety on farms wall planner for 2016 and distribute to rural schools by 31 December 2015.	<b>Target Achieved</b> Calendar printed and distributed to rural primary schools.
Small Businesses	Through its small business advisory service, Health and Safety Works NI (HSWNI), provide mentoring to 200 premises on health and safety issues specific to the business needs and priority areas, including 'new to the job' risks where appropriate, by 31 March 2015.	<b>Target Achieved</b> A total of 262 visits – 225 visits to new businesses and 37 visits to existing companies.

# Inspection

To improve compliance with health and safety standards through inspection and investigation activities.

Key Areas	Targets	Progress
Priority issues	<b>Undertake inspection initiatives focussing on particular health and safety risks in particular areas, including:</b>	
	Key risks in the agricultural sector.	<b>Target Not Achieved</b> The target of 1,000 inspections (as required on the Farm Safety Partnership Action Plan) was not achieved due to staff losses through the VES and staff illness. 767 initial inspections were completed during the period of report.
	Top tier and lower tier Major hazard sites, to include key priority areas of musculoskeletal disorders and workplace health.	<b>Target Achieved</b> Formed part of the inspection plan.
	Work related health issues in the manufacturing sector.	<b>Target Achieved</b> Ongoing, health issues in the sector are discussed during interactions as appropriate.
	The management of legionella prevention in premises with high-risk water and water cooling systems.	<b>Target Achieved</b> Formed part of the inspection programme.
	Commercial and council waste handling facilities.	<b>Target Achieved</b> Target achieved through visits carried out as part of the inspection programme.
	Asbestos removal operations.	<b>Target Achieved</b> Formed part of the inspection programme.
	Contributing to a joint HSENI/District Council 'new to the job' project.	<b>Target Achieved</b> Campaign was launched in April 2015.
Vulnerable Groups	Ensure that the health and safety needs of vulnerable workers such as those having a disability, young workers (including school leavers entering the workplace for the first time), older persons and migrant workers, are addressed during all inspection and investigation activities where appropriate.	<b>Target Achieved</b> The "New to the Job" Campaign ran in April 2015.



Key Areas	Targets	Progress
Inspection (Including Investigation)	Undertake at least 5,000 inspections across all work sectors for which HSENI is responsible, aimed at improving levels of compliance with health and safety standards.	<b>Target Achieved</b> 5,576 contact visits completed.
	All complaints about workplace health and safety standards will be investigated in accordance with HSENI's published procedure.	<b>Target Achieved</b> 839 complaints were investigated.
	All fatal incidents will be investigated.	<b>Target Achieved</b> Investigations take place in relation to all reportable fatalities.
Compliance/ Enforcement	All employers found to have an unsatisfactory level of compliance will be considered for enforcement action in accordance with HSENI's Enforcement Guidelines.	<b>Target Achieved</b> Formed part of the inspection programme. 32 Improvement notices and 123 Prohibition notices were served as a result of unsatisfactory standards.

## Regulation

To ensure that an effective and up-to-date health and safety at work regulatory framework is maintained.

Key Areas	Targets	Progress
Consultative and Discussion Documents	Publish Consultative Documents in relation to proposals for health and safety regulations and Approved Codes of Practice in numerous areas.	<b>Target Achieved</b> Consultations on three sets of regulations and seven ACOPs completed.
	Ensure that 100% of proposals for the making of health and safety regulations required to satisfy EU Directives will be submitted to the Department within the time limits imposed by the originators of the requests.	<b>Target Not Achieved</b> Two sets of regulations submitted within time limit. One set of Regulations overdue. Awaiting clearances from the Department of Energy and Climate Change (DECC).
Health and safety Legislation	Develop health and safety regulations to cover numerous topics.	<b>Target Achieved</b> Six sets of regulations made (includes transposition of two European Directives as above). Three sets of regulations at different stages of development.
Approved Codes of Practice and Guidance	Develop and submit Codes of Practice for consent by the Department and approval by HSENI providing guidance and advice on numerous areas.	<b>Target Achieved</b> Ten ACOPs approved for use in Northern Ireland and existing ACOPs withdrawn. An additional ACOP was also withdrawn as following legislative changes it no longer had any legal effect.

# Other Corporate Targets

Key Areas	Targets	Progress
Health, safety and welfare	During 2015-16, quarterly health, safety and welfare inspections to be carried out by Premises Officer and NIPSA Trade Union Safety representative and reports made available to staff.	<b>Target Achieved</b> Regular building inspections undertaken – led by member of SMT.
Policy development	Submit an Annual Report to the Equality Commission on the implementation of HSENI's actions under equality and disability duties by 31 August 2015.	<b>Target Achieved</b> Report submitted 4 September 2015
	Draft a new Corporate Plan covering the period 2016 – 2020.	<b>Target Not Achieved</b> Draft substantially complete but 2017-18 onwards budget allocations will not be known until Autumn 2016. Target will carry forward into 2017-18 plan.
Human resources	Oversee the implementation of the 2015 Staff Attitude Survey by 31 December 2015	<b>Target Achieved</b> Survey implementation completed by 31 August 2015. Results were analysed by February 2016.
	Develop HSENI's Learning and Development Plan for 2015-16 by 31 October 2015.	<b>Target Achieved</b> Completed August 2015.
Corporate Governance and Risk Management	Support the quarterly meetings of HSENI's Audit and Risk Management Committee during 2015-16, in its task of seeking assurances on the corporate governance and risk management processes and procedures within HSENI.	<b>Target Achieved</b> ARMC continues to meet every quarter.
	Undertake a desk-top exercise by 31 March 2016, in light of proposed changes in accommodation, to refresh staff's understanding of their roles and actions required as part of HSENI's Business Continuity Plan.	<b>Target Not Achieved</b> Other work priorities have resulted in this target not being met during this financial year. A more comprehensive BCP exercise will take place during 2016-17 following a review of the Business Continuity Plan.
Financial	Prepare, finalise and lay before the Assembly, HSENI's Statement of Accounts for 2014-15 before the summer recess for 2015.	<b>Target Achieved</b> Completed Accounts laid on 3 July 2015.

# Management Commentary

## Communication

Communication continues to be a vital part of HSENI's day-to-day work programme as we aim to disseminate and promote occupational health and safety advice and information to targeted groups. HSENI communicates through a multi-channel strategy, which includes campaigns, publications, seminars, workshops, web activity, exhibitions and social media. By raising awareness of key issues we aim to prevent and reduce future occurrences of work-related injuries and ill health.



Launching the new Girlguiding Ulster child farm safety badge is Six Nations winning rugby star and YFCU Patron Rory Best, with Sarah McKee from Ballydown Rainbows.

Partnership working is particularly important to HSENI, and partnership events such as the Asbestos Seminar, WISHNI Ambassadors Programme Awards, BuildHealth Conference, Mining Workshop, the HSENI Safety Representatives Awards and the Balmoral Show 2015, facilitate access to health and safety information by a much wider audience than HSENI would be able to reach on its own.

HSENI, through the Farm Safety Partnership, has also developed excellent relationships with sporting organisations such as Ulster Rugby, the Irish Football Association (IFA) and Ulster Gaelic Athletic Association (GAA) to help promote our farm safety messages.



HSENI chairman George Lucas, Manchester United and NI football star Paddy McNair and UFU President Ian Marshall promoting the Stop and Think SAFE campaign.

HSENI also played a leading role in promoting the international farm safety week in July 2015. As a result of our PR activity, 50 news articles were published in the local press. This represented a total combined circulation of 570,342 and an advertising value equivalent of more than £30,000.

During 2015-16, HSENI's Information and Advisory Services team organised the following key events, in partnership with Inspectorate staff, attracting 390 delegates:

- Asbestos Seminar - 16 March 2016 at the Hilton Hotel, Templepatrick;
- WISHNI Ambassadors Programme Awards - 10 March 2016 at the Dunadry Hotel, Co. Antrim;
- BuildHealth Conference - 20 October 2015 at the Dunsilly Hotel, Antrim; and
- Mining Workshop - 9 October 2015 at Dalradian Gold Limited Quarry.



HSENI, through the FSP, led the way in promoting the international farm safety week in July 2015. Helping to promote international Farm Safety Week 2015, GAA Monaghan Captain, Darren Hughes attended the NSA sheep event in Ballymena with HSENI Chief Executive Keith Morrison and UFU President Ian Marshall.

Information and Advisory Services also assisted in the delivery of the HSENI stand at the Balmoral Show in May 2015, and hosted the HSENI Safety Representatives awards in our Ladas Drive headquarters in February 2016. During 2015-16 HSENI either held or attended 326 promotional events including seminars, lectures, workshops and presentations.

Carbon Monoxide Awareness Month was launched, for the third year, in November 2015 by DETI minister Jonathan Bell. The safety drive was supported by partner organisations including, the Oil Firing Technical Association (OFTEC), the Northern Ireland Fire and Rescue Service, (NIFRS) and the Royal Society for the Prevention of Accidents (RoSPA).

Information and Advisory Services staff assisted the Major Hazards and Gas Safety Group with dissemination of literature, publicity in local press and leading NI publications, including Business First and the Ulster Tatler.

Throughout the month, Information and Advisory Services staff also posted and shared targeted carbon monoxide themed safety messages via HSENI's social media channels to help raise awareness of the potential dangers from this toxic gas.



Enterprise Trade and Investment Minister Jonathan Bell launches Carbon Monoxide (CO) Month 2015 with, from left to right, RoSPA Training Development Officer Colin Wallace, HSENI Chief Executive Keith Morrison and OFTEC Ireland Manager David Blevings.

Information and Advisory Services, with the assistance of a team of volunteers from various groups within HSENI, oversaw the migration of information and the publication of the new HSENI website which went live in March 2016. The consolidation of information from all websites managed by HSENI and the launch of the new site fulfilled HSENI's responsibilities to deliver a website based on the 'Drupal' content management system, in line with all departments across the NICS.

HSENI's social media channels continued to be developed during the year and have been established as an important part of our multi-media communications activity. They are also important in developing partnerships between and engaging with key organisations around common safety issues.

HSENI Twitter followers now exceed 1,380 and we have attracted 1,178 likes on our Facebook account. Social media channels are a key element of our engagement with stakeholders and partners by sharing timely safety messages.

During 2015-16 HSENI's YouTube videos have had more than 70,000 views. Our series of farm accident survivor stories have proved to be particularly popular, recording over 26,000 views.



William Sayers from County Tyrone shares his experience when as a boy on his family farm he lost an arm, and almost his life, when he was in an accident involving an unguarded PTO shaft. William's story has been viewed more than 18,000 times on HSENI's YouTube channel.

## Information and Advisory Service

HSENI's Information and Advisory Service, which includes the Information and Advice Centre and freephone Helpline service, has continued 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.

The one-to-one Advisory Service, which allows customers to speak to a Duty Inspector who can give advice on all aspects of health and safety in the workplace, on a confidential basis if necessary, responded to 2,461 requests.

This service is accessed through **HSENI's freephone Helpline** on **0800 0320 121**.

The Information and Advisory Service is also responsible for HSENI's PR 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.

Activities include:

- developing and promoting campaigns, including advising on the creative messaging and media strategy of the recent high profile farm safety TV adverts that feature as part of the ongoing 'Stop and Think SAFE' campaign;
- drafting and issuing news releases to media outlets;
- promoting a range of events and seminars for HSENI, including assisting in the development and organisation of HSENI's annual Balmoral Show stand;

- managing content on HSENI's websites;
- managing and developing HSENI's social media channels;
- developing and advising on HSENI's suite of corporate and sector specific publications; and
- liaising with communication partners to enhance our key messages.

#### Throughout the year, HSENI:

- distributed over 130,500 free publications giving health and safety advice;
- distributed over 18,500 promotional items which includes more than 2,500 carbon monoxide alarms;
- dealt with 3,862 calls for information via its freephone Helpline;
- enabled website visitors to download some 277,000 publication files; and
- oversaw the migration and consolidation of a wide range of information from various websites to our new HSENI website, as part of an NICS-wide programme.

## Health and Safety Works NI

Health and Safety Works NI (HSWNI), HSENI's dedicated small business advisory service continues to provide practical and impartial advice on managing health and safety in the workplace to all small businesses (less than 50 employees) across Northern Ireland.

The team of advisers provides three levels of service: information; advice and guidance; and support to a wide range of businesses in sectors as diverse as construction, manufacturing, agriculture and quarrying.

The service is also available to enterprises in the social economy and service sector. HSWNI's service is free and confidential with no enforcement implications for the business.

During 2015-16, HSWNI continued to promote its service to the small business sector by attending 66 events including; the Balmoral Show from 13 to 15 May 2015 in Balmoral Park; a Plumbing and Heating Show held on 16 and 17 September 2015 in Belfast; the Chartered Institute of Waste Management Conference held in Belfast on 30 September 2015; the Building & Design Trade Show held on 11 and 12 November 2015 in Belfast; and seventeen NI Chamber of Commerce events throughout the year.

HSWNI offered support to 225 new small businesses; mentored 32 entrepreneurs participating in the Department for Employment's "Steps to Success" programme, and advised 30 clients taking part in Enterprise NI's "Starting a Business" talk.

HSWNI facilitated 18 events and workshops and delivered health and safety presentations across a range of sectors giving both general and industry specific health and safety advice.

Online communications with the HSWNI website continued to increase with almost 411,850 visitors to the site, a 25% increase on the previous year, and over 205,150 pieces of information downloaded during the operating year which represented a 15% increase in the download figures for 2014-15. Construction specific templates and worked examples of a health and safety policy, risk assessments and method statements continued to be the most popular downloaded information.

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## One-to-One Advisory Visits

A key objective of the health and safety promotional work undertaken is to generate a demand for the free and confidential mentoring service offered by HSWNI.

225 new small businesses received this service from HSWNI in the period, and, because this is on a one-to-one basis, the adviser can devote time to deal with the specific health and safety issues of the particular business involved. A further 37 repeat visits were made to companies that had previously used the service.

Construction safety is one of HSWNI's priorities due to its "high risk" profile and 52 new construction companies received one-to-one advisory visits this year.

HSWNI has produced a comprehensive "construction resource pack" specifically to ensure that these companies have ongoing access to appropriate health and safety management information.

## Working in Partnership

Due to the continued success and popularity of the "Managing Fire Safety" workshops, HSWNI's has continued to work with the Northern Ireland Fire and Rescue Service (NIFRS) and delivered two workshops in partnership with the NIFRS during the year.

The first was held on 19 May 2015 at the College of Agriculture, Food and Rural Enterprise's Loughry Campus and the second on 15 October 2015 at Omagh Fire Station.

A further three workshops on a variety of health and safety topics were delivered in partnership with the Labour Relations Agency (LRA) on 29 September 2015 at their office in Belfast and on 20 October 2015 and 3 February 2016 at their office in Londonderry.

The partnership with the Construction Industry Training Board (CITB NI) has generated ongoing links with the construction industry enabling HSWNI to provide valuable health and safety advice to this high risk sector. During the year HSWNI supported CITB NI in the delivery of three health and safety presentations to their clients held in Omagh, Newry and Londonderry.

A further 10 presentations were delivered in partnership with other organisations. Some of these were to address industry specific issues and included a general health and safety talk to a pharmaceutical supplier in Draperstown and a talk to the childhood services organisation, Early Years, in Belfast.

HSWNI also participated in a Health and Safety Seminar for small construction companies in South West College's Enniskillen campus and in South West College's Construction Industry Employers' Night held in the Omagh campus.

Other presentations were made to entrepreneurs enrolled in the 'Steps to Success' programme in Omagh on 10 July 2015 and 1 December 2015, and at 'Start Up Business' talks held in Belfast and Bangor. As part of restructuring, HSENI has amalgamated Health and Safety Works NI fully into HSENI which will ensure that this service is still available and closely aligned to the operational groups and priority issues within HSENI.

## SafeStart-NI

SafeStart-NI is a programme established to address the health and safety needs of young people who are new to the workplace.

These young people will be entering the workplace for the first time, either directly from school, after studying at an educational college or university or will have just joined the workforce as an apprentice.

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The health and safety of young workers is of particular concern to HSENI as they face an increased risk of injury and death due to their lack of maturity, experience and limited appreciation of the risks. The aim of the programme is to provide young people with the necessary health and safety knowledge and skills to enable them to stay healthy and work safely in a range of occupational environments.

HSENI's 'Be Safe When You Start' book once again proved to be very popular especially with teachers and lecturers who use it to prepare young people who are about to enter the workplace. During 2015-16, 6,720 copies of the book were distributed to schools and colleges throughout Northern Ireland. A further 230 copies were downloaded from the HSENI website. Through the SafeStart-NI programme, HSENI this year again supported the Skillbuild Northern Ireland National Finals Competition held at the Castlereagh campus of the Belfast Metropolitan College on 29 – 30 April 2015.

The competition involved 11 different craft trades from the construction industry and is the largest multi-trade competition for young students and apprentices aged 21 and under in Northern Ireland.

HSENI used this opportunity to promote the SafeStart-NI programme to both industry and the education bodies and to highlight the need for a safer working environment for young people. During September 2015, HSENI attended the annual Freshers' Fairs at 21 campuses of the Belfast Metropolitan, Southern, South Eastern, Northern, South West, and North West regional colleges. In October 2015, HSENI also attended the student fairs at Loughry, Cookstown and Enniskillen campuses of the College of Agriculture, Food and Rural Enterprise.

In addition, HSENI attended the annual Causeway Business Education Partnership area Careers' Convention in Coleraine on 11 March 2016 reaching a further 1,500 students.

At these events the 'Be Safe When You Start' book and other relevant health and safety information was distributed to the students. HSENI also raised awareness of the SafeStart programme and of the advice and resources which are available to the teachers and lecturers.

During 2015-16, HSENI delivered 54 health and safety presentations to young students going out on work placements and those studying sport and leisure, hair and beauty, business studies, health and social care, retail, catering, motor vehicle repair, engineering, science and the construction trades in the further and higher education colleges across Northern Ireland.

In addition, six health and safety presentations were also delivered to students studying GCSE Agriculture at Portadown and Cullybackey College; students studying at the College of Agriculture, Food and Rural Enterprise, Greenmount campus and also to a Young Farmers Club in Rathfriland.

Within the construction industry, HSENI continued to focus on the dangers associated with exposure to asbestos and as a result, a further 14 presentations were delivered to construction apprentices and the associated trades including plumbing, electrical and joinery at the regional college campuses of Downpatrick, Newtownards, Newry, Portadown, Ballymena, Magherafelt and Newtownabbey, as well as to construction engineering students at the Ulster University in Jordanstown.

Overall, under the SafeStart initiative, 74 health and safety presentations were delivered to over 2,000 young people in Northern Ireland during 2015-16.



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## Partnership with District Councils

HSENI, in partnership with the 11 District Councils, focused on a number of issues including a targeted campaign to raise awareness of the vulnerability of new and inexperienced workers. The campaign was called "New to the Job" and included an information sheet with guidance for new employees and their employers.

This year saw a consolidation of the partnership between HSENI and the district councils as the formal structures, established through the joint strategy, maintained working relationships and continued to impact on health and safety regulation in Northern Ireland.

Eleven Councils were established on 1 April 2016 as a result of restructuring but despite this the Councils remained firmly committed to delivering on the joint strategy. The joint strategy entitled "Health and Safety at Work – Protecting Lives, Not Stopping Them" was launched by the Enterprise, Trade and Investment Minister, Arlene Foster in February 2011, and defines 10 specific goals, which act as a blueprint for joint working, planning and sharing of resources/expertise over the next decade and beyond.

The strategy underlines the commitment of HSENI and the Councils to achieve better efficiency and a more effective co-ordinated approach to the regulation of health and safety at work. The strategy is delivered through a three tiered approach to partnership working.

Overseeing the partnership work is the Health and Safety Executive/Local Authority Enforcement Liaison Committee for Northern Ireland (HELANI), which meets three times per year. The Committee has a strategic input into the work of the partnership as well as monitoring progress of joint working.

The second tier is the Planning and Development Group which comprises senior officials from HSENI and District Councils and this gives direction on joint working based on the key priorities for both HSENI and the District Councils. This work is then directed through the third tier consisting of operational groups to deliver the work.

2015-16 saw the commencement of a focused review of joint HSENI – Council working to help ensure that the new local and central government structures can best deliver on the wide range of work-related health and safety issues.

### New to the Job

'New to the Job' was made a joint working priority in 2015-16 with the rationale that workers are as likely to have an accident in the first six months at a workplace as during the whole of the rest of their working life.

The campaign successfully raised awareness of the issue through a range of targeted activities. Press releases were developed and distributed by both HSENI and the Councils focusing on the provision of appropriate training and supervision of new employees. An information sheet containing important information both for new employees and for employers was developed. The information was distributed in a number of languages, including Polish, Chinese (Mandarin), Lithuanian and Romanian.

Over 1,000 HSENI and Council inspections raised the issue of new and inexperienced employees. Businesses were directed to the website [www.hseni.gov.uk/newtothejob](http://www.hseni.gov.uk/newtothejob) where further information could be obtained

### Gas Safety Regulators Group

The Joint HSENI and Local Authority (LA) Gas Safety Regulators Group continued to meet regularly during 2015-16.

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The group shared knowledge on a range of gas topics, including safe gas storage and safe installation of gas equipment, and in doing so helped to promote consistency and good practice in gas safety regulation.

The group also enhanced technical knowledge and encouraged consistent enforcement through delivery of a "Gas Safety for Mobile Catering" training session for 30 Council Environmental Health Officers.

Throughout 2015-16, all of the district council and HSENI staff involved in the various joint working groups, continued to work hard to consolidate a better approach to health and safety regulation. By using the joint strategy as a framework and by working together, it has facilitated better regulation for all concerned.

## Mental Wellbeing at Work Advisory Service (MWWAS)

During 2015-16, HSENI continued to promote HSE's Management Standards and our associated resources on mental wellbeing in the workplace setting.

HSENI has actively supported a number of organisations implementing the Management Standards, including:

- Debt Collection Services Ireland;
- Northern Ireland Audit Office (NIAO);
- Department of Agriculture and Rural Development (DARD);
- Irish Football Association (IFA);
- Consumer Council Northern Ireland; and
- Council for the Curriculum, Examinations and Assessments NI (CCEA).

HSENI has a representative on the cross Departmental Human Resources (DHR) working group.

Each Government Department received its Northern Ireland Statistics and Research Agency (NISRA) Stress Report in December 2014, the results of which had been analysed by HSENI.

HSENI has since been approached by a number of the Departments to carry out the second stage of the mental wellbeing risk assessment – the focus groups.

The list above details those organisations HSENI is currently assisting; there is further work with the Department of Employment and Learning (DEL) planned for later in 2016.

HSENI also has agreements with the South Western Regional College and the Northern Regional College to assist them with mental wellbeing risk assessments, which is a breakthrough into the education sector.

HSENI's Workplace Health team facilitated five workshops and seminars in liaison with the Labour Relations Agency to mixed audiences and ran one for NIPSA health and safety representatives. It has also delivered presentations to organisations including Montupet and the University of Ulster Students' Union.

The Workplace Health team has had ongoing liaison with HSE(GB) regarding the new benchmarking tool for the Management Standards. This new benchmarking tool has proven effective in providing more in depth statistical material for completing a report for any client.

There has also been contact with and sharing of data between HSENI and the Health and Safety Authority (HSA) in the Republic of Ireland. The two teams continue to liaise and exchange data on a regular basis.

HSENI continues to represent DETI on the Bamford Interdepartmental Senior Officials Group (IDSOG).

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The Group was set up following the publication of the Bamford Review. The purpose of the IDSOG is to oversee progress of the Action Plan devised in support of the Executive's response to recommendations made in the Bamford Review to ensure that people with a mental health problem or learning disability are valued and able to enjoy their rights to full participation in all aspects of everyday life.

## Scientific Services

The Inspectorate is supported in both its investigative and advisory roles by the Scientific Services team consisting of four scientists and one engineer.

The team has a wide range of skills and experience in areas such as occupational hygiene, asbestos, metallurgy, and regularly becomes involved in incident investigations.

In 2015, Scientific Services successfully maintained its third party accreditation (by UKAS) to ISO17025 – the international standard for quality management systems in laboratories. Accreditation is required for laboratories undertaking the analysis of asbestos in bulk materials and the monitoring of asbestos fibre in air.

The scope of accreditation also covered the measurement of dust exposure and the assessment of the effectiveness of local exhaust ventilation systems, used to control exposure employees to hazardous dusts and vapours.

Regulations require that a rigorous survey for asbestos is carried out before any major refurbishment or demolition takes place. The purpose of doing a survey is to identify where asbestos is present so that it can be removed before other work commences. There was a significant number of visits by Scientific Services to demolition or refurbishment sites during the year where inadequate or no surveys had been carried out.

Work undertaken without prior controlled removal of asbestos can result in potentially significant exposures to asbestos fibres for the workers involved and also in extensive contamination of premises and plant.

Exposure to respirable asbestos fibres can result in fatal disease many years later. Once plant or machinery has been contaminated with fine asbestos fibres, the decontamination process becomes a major problem – an expensive one with high associated costs and downtime on the plant.

The section continued to undertake investigations into the potential exposure to silica during the use of power tools in refurbishment projects.

The types of work involved included the use of power tools in the removal of mortar from brickwork in preparation for re-pointing, called 'raking out', and the use of tools to cut channels into block-work to accommodate cables, called 'chasing'.

This work demonstrated the need for a high level of control to maintain exposures below the stringent workplace exposure limit (WEL) for respirable crystalline silica, not only for the operator, but also for anyone else working in the vicinity.

Adequate control can be achieved using suitable combinations of measures such as water suppression of dust and respiratory protection (dust masks). Respirable crystalline silica can cause debilitating respiratory disease and has been identified by the World Health Organisation (WHO) as a carcinogen.

Engineering also accounted for a significant proportion of our output. Investigations have looked at machinery and tools involved in workplace incidents to determine whether their condition may have contributed to the incident. Post-incident investigation can frequently provide important information on the sequence of events leading up to the incident.

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Scientific Services has added a drone to its inventory. This is used, for example, to record the conformation of quarry faces on digital video by accessing viewpoints which would not otherwise be possible.

## Employment Medical Advisory Service

The services provided by the Employment Medical Advisory Service (EMAS) are delivered by HSENI through the provision of occupational health advice, which means advice on health matters relating to work, to organisations and individuals including employers, employees, trade unions, regulators, health care professionals and others.

EMAS also investigates complaints and concerns of ill health, investigates reports of diseases received from employers under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland) 1997 (RIDDOR), facilitates the appointment and approval of doctors under statutory requirements, and oversees First Aid at Work training organisations.

During April and May 2015, the Occupational Health Nurse (OHN) conducted three workplace visits covering issues such as first-aid at work approvals and the adequacy of the controls in place to manage workplace risks to health.

Visits to workplaces provided opportunities to highlight the importance of leadership and employee engagement in health and safety management.

The OHN assisted both employers and third party organisations with advice and guidance on health risk assessments, a vital part of ensuring good health at work. The OHN post is currently vacant but plans are in place to fill the vacancy during 2016-17.

### First Aid at Work

Sixty one organisations are currently approved by HSENI to provide First Aid at Work training. In the period 1 April 2015 to 31 March 2016 one organisation gained HSENI approval for the first time, two companies withdrew, ten organisations were reapproved, and six organisations were granted an extension.

A total of 1,629 courses (first aid at work, refresher and emergency first aid at work) were notified to HSENI.

During 2015-16, HSENI conducted one monitoring visit to courses and examinations.

Since January 2013, HSENI has also recognised Ofqual-approved awarding organisations for the delivery of training in First Aid at Work subject to specified conditions.

Fifteen organisations are currently approved with a total number of 74 affiliated training centres.

During 2015 these Ofqual organisations issued a total of 1,411 First Aid at Work certificates, 2,920 emergency First Aid at Work certificates and three First Aid at Work refresher certificates under this arrangement.

### Health and Safety (First-Aid) Regulations (Northern Ireland) 1982 Consultation

HSENI has gone out to consult on the amendments to The Health and Safety (First-Aid) Regulations (Northern Ireland) 1982.

The proposed changes will amend regulation 3(2) of the 1982 Regulations to remove the requirement for HSENI to approve the training and qualifications of appointed first-aid personnel. It is also proposed to withdraw the Northern Approved Code of Practice "First-aid at work - The Health and Safety (First-Aid) Regulations (Northern Ireland) 1982" and to replace it with the guidance issued by the Health and Safety Executive in Great Britain.

## Appointment of Chief Medical Adviser to HSENI

HSENI has appointed Professor David Fishwick, HSE(GB)'s Chief Medical Adviser as HSENI's Chief Medical Adviser. As HSE's newly-appointed Chief Medical Adviser for Great Britain and Northern Ireland, Professor Fishwick and his specialist teams will work closely with other government, industry sectors and the wider health and safety community to help achieve HSE(GB)'s and HSENI's shared goal of achieving world-class performance in workplace health and safety.

## Appointed Doctors

HSENI appoints doctors under the Regulations below at the request of employers. 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. In 2015-16, seven Northern Ireland doctors had their appointments extended and two doctors tendered their resignation. One GB appointed doctor did not have her certificate renewed. One doctor had their review/renewal completed successfully. Three new doctors have been appointed – two under the Control of Asbestos Regulations (NI) 2012 and one under the Control of Lead at Work Regulations (NI) 2003.

During 2015-16, appointed doctors based in Northern Ireland carried out 201 statutory medical examinations.

Details of the Regulations and the examinations are continued in Table 1.

Table 1

Regulations	Number of examinations 2015-16
Control of Lead at Work Regulations (NI) 2003	28
Control of Asbestos Regulations (NI) 2012 (Returns for NI-based Appointed Doctors only)	127
Control of Substances Hazardous to Health Regulations (NI) 2003 – as amended	20
Ionising Radiation Regulations (NI) 2000	26

## HSENI Approved Medical Examiners of Divers (AMEDs)

Approved Medical Examiners of Divers are also appointed by HSENI under the Diving at Work Regulations (Northern Ireland) 2005. HSENI has adopted the Guidance on Fitness to Dive developed by the Health and Safety Executive in Great Britain as its standard.

These doctors are required to undertake specific training in diving medicine and to have this updated periodically.

Standards are also set for the calibration of the equipment they use and all doctors are the subject of review by HSENI. In 2015-16, HSENI's five Approved Medical Examiners of Divers conducted 142 "fitness to dive" assessments.

## Changes to the Arrangements for Appointing and Approving Doctors and AMEDs to Conduct Statutory Medical Examinations

In January 2016 HSENI informed its Appointed Doctors and AMEDs of its revised arrangements to appoint and approve doctors

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to conduct statutory medical examinations and these arrangements bring HSENI into line with the procedures implemented by the Health and Safety Executive in GB.

### Reported Diseases 2015-16

Under the RIDDOR Regulations, HSENI initially received 41 reports of diseases, seven of which were later confirmed as non-reportable.

Within the reportable category there were: 22 cases of hand-arm vibration syndrome (one of which is still to be confirmed); two cases of carpal tunnel syndrome; four cases of occupational dermatitis; two cases of traumatic inflammation of the tendons; one case of Pulmonary Tuberculosis; two cases of cramp of hand or forearm (one of which is still to be confirmed); and one case of Rickettsiosis. The confirmed cases came from 18 different employers.

## Agriculture and Food

The agriculture sector in Northern Ireland consists mainly of family farm businesses and a sizeable proportion of those involved in the industry have jobs outside the farm business.

The agriculture industry employs 47,979 people who work on 24,907 farms.

Approximately 55% of farmers are classified as being employed full-time on their farm (statistics taken from the Department of Agriculture and Rural Development – The Agricultural Census in Northern Ireland – June 2015).

In general the whole agricultural industry has been suffering from depressed incomes due to poor prices for a considerable period of time.

The agri-food group has enforcement responsibility for work in farming, horticulture, forestry, arboriculture, fish farming and the food and drink processing industry.

Tragically, during the year there have been six fatal agricultural incidents:

- A 61 year old self employed farmer was killed on 10 June 2015 when the quad bike he was operating turned over on steep ground at his home farm. The farmer had been spraying rushes in a field at the farm with a quad mounted sprayer when the incident occurred.
- A 68 year old self-employed farmer died as a result of injuries inflicted by a Charolais bull, which he owned. The farmer was carrying out repairs to a fence in a field near his home when it appears that the four year old bull attacked him. There were no other animals in the field at the time of the incident. The incident occurred on 26 June 2015.
- A 79 year old farmer died in an accident on his farm near Downpatrick on 21 December 2015 when a front end loader fitted to the tractor came down on top of the man.
- A 68 year old man died in an accident on his nephew's farm near Omagh. The deceased died when he was struck by a telescopic handler, which was reversing out of a cattle shed. The incident occurred on 24 December 2015.
- A 67 year old farmer fell a distance of approximately 2m from the top of a manure drier in a poultry shed on his farm. The incident occurred on 17 February 2016 and the farmer died in hospital on 18 February 2016.
- A 56 year old self-employed farmer died when he was struck by an unsupported forklift mast, which fell on top of him at his farm near Newry on 26 February 2016.

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## Promotional and Educational Activities

This year we had high profile sports personalities endorse the key messages of the Farm Safety Partnership. These included Rory Best of Ulster and Ireland Rugby, Paddy McNair of Manchester United and Northern Ireland, and Monaghan GAA Captain Darren Hughes. These endorsements have helped in getting our farm safety messages out to key audiences in the farming industry. Our series of farm accident survivor stories on YouTube have proved to be particularly popular, recording over 26,000 views.

William Sayers from County Tyrone shared his experience when as a boy on his family farm he lost an arm, and almost his life, in an accident involving an unguarded Power take-off (PTO) shaft. William's story has been viewed more than 18,000 times on HSENI's YouTube channel. Again this shows the diverse methods employed through the year to reach different audiences in the farming community.

## Child Safety on Farms

During the year 87 rural primary schools were visited by staff from HSWNI/HSENI who made presentations on farm safety to children in Foundation level, Key Stage 1 and Key Stage 2. Over 8,000 pupils received important messages regarding farm safety during these talks.

HSENI's 'Be Aware Kids' Child Safety on Farms Campaign continued during the year. A primary school poster competition, organised by HSWNI, was run during May 2015. Almost 3,500 pupils from 80 primary schools submitted posters to the competition. The twelve winning entries were used to produce a Child Safety on Farms calendar for 2016. 39,000 calendars were produced and these were distributed (through rural primary schools) to ensure that a calendar was delivered to every rural home in Northern Ireland which has children of primary school age.

Staff from HSWNI/HSENI attended eight 'Bee Safe' events across Northern Ireland. These events were organised for primary school children as part of a multi-agency community safety initiative which gave children the chance to learn some key safety messages. Staff also delivered interactive farm safety presentations to over 4,000 Primary 7 pupils.

Thankfully, during the year there were no work related child fatalities on farms in Northern Ireland. However, there is no room for complacency and HSENI, along with its campaign partners, are committed to continuing the campaign into 2016-17.

## Balmoral Show 2015

HSENI's involvement in the Balmoral Show in 2015 focused on the safe operation of quad bikes and safety when reversing farm vehicles. Practical demonstrations of each of these topics were delivered throughout the three days of the show. HSENI also supported the Young Farmers' Clubs of Ulster (YFCU) by assisting with the organisation and judging of a safe tractor handling competition.

## Promotional work

HSENI considers the dissemination of practical health and safety information to the industry as extremely important and has delivered numerous presentations to farmers' groups, students at CAFRE Colleges and other relevant groups during the year.

Farm health and safety ambassadors from the Ulster Farmers' Union (UFU) and the Young Farmers Clubs of Ulster (YFCU) have been involved in the delivery of important health and safety information to the farming community.

## Farm Safety Partnership

The members of the Farm Safety Partnership have been very active throughout the year and are on target to complete the numerous objectives set out in the 2014-17 Action Plan.

As part of the plan, two practical visual guides were produced during the year delivered by farmers explaining the dangers of slurry gas released during slurry mixing and the consequences of a child falling from a moving tractor. The videos also provided advice to the farming community on how similar incidents could be avoided.

### Food and drink processing industry

The food and drink processing industry employs approximately 27,000<sup>2</sup> people across the industry.

During the year staff from the agri-food team undertook over 200 inspections of food and drink manufacturing and processing companies. The inspections focused on the main health and safety issues including: maintenance activities, vehicle movement, work at height, management of asbestos, machinery guarding, training of workers, vulnerable workers and health issues relevant to the company.

## Construction

HSENI'S construction Inspectors observed an increase in building activity in 2015-16 particularly in the house building sector.

Sadly in 2015-16 there were two fatalities on construction sites, one involving a member of the public.

This is a reduction on the previous year (2014-15 – five fatalities) but every death is one too many and zero fatalities, as was achieved in 2009, has to be the industry objective.

From analysis of the major injury accidents in construction, the main cause of these is still falls from height and this has not changed from previous years. It is the common experience of all construction Inspectors that some contractors and self-employed persons in this industry still continue to take shortcuts which expose their workers and themselves to

avoidable and unacceptable risks.

Reducing the number of injuries and deaths, including those resulting from falls, in order to help prevent the devastating effect these kinds of accidents have on the lives of workers and their families is a priority for HSENI. In 2015-16 the Construction group served 49% of the total number of Prohibition Notices served by HSENI, with the majority of these, targeting work at height activities.

Ill-health in the construction industry also has a financial cost for all those involved and the business case for improving performance is absolutely clear. HSENI continues to raise the profile of health during site visits.

During inspections the requirement for face fit testing for all tight fitting Respiratory Protective Equipment (RPE) has been discussed and construction inspectors report that they have seen an increased awareness throughout the industry.

The Construction group has seen a general improvement in the number of workers face fit tested for the facemask which they are using and an improvement in the general awareness of control measures when working with silica containing materials.

During 2015-16, a number of articles were placed in relevant media publications relating to Asbestos surveys, the need for internal fall protection, manual handling and roof work.

### Asbestos

HSENI continues to exercise its function as a licensing authority and has renewed licences to contractors to work with asbestos for terms of between one and three years.

A very successful seminar was held in Antrim targeting the licensed contractors and provided an update on all aspects of working with asbestos with speakers from the Asbestos Licensing Unit in Edinburgh, the Asbestos Removal Contractors

2. (statistics taken from the Agri-Food Strategy Board – "Going for Growth" 2013).



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Association in England, a Northern Ireland based UKAS accredited analyst and a local asbestos removal contractor.

The seminar was attended by approximately 150 delegates.

Asbestos is routinely discussed at site visits and during all seminars and concerns in this area are regularly reported as complaints.

### Other promotional activities

HSENI continues to work in partnership with a number of key stakeholders in order to promote important health and safety messages to the construction industry.

Such collaboration included:

- Cross border liaison with the Health and Safety Authority construction team;
- Seminars to smaller building contractors;
- Speaking at industry led seminars e.g. Institute of Civil Engineers; and
- Membership of industry panels and forums such as ICE, ILP (at University of Ulster).

### BuildHealth

The BuildHealth initiative continues to build on a successful past with one new company joining in 2015-16.

It is very encouraging to see the industry being proactive in improving the health of the workforce and especially encouraging to see the mentoring role carried out by the larger companies with their sub-contractors.

A very successful BuildHealth seminar was carried out jointly with the Institute of Occupational Safety and Health (IOSH), with a number of speakers flying in from England to take part.

It was based on the IOSH topic of 'No Time to Lose' and focused on occupational cancer in the construction industry.

For details of the BuildHealth initiative and events please visit the BuildHealth website at [www.buildhealthni.com](http://www.buildhealthni.com).

## Extractive Industries

The Extractive Industries Group is active in a wide range of diverse work activities. Industry partners continue to be very helpful in spreading the key health and safety messages. HSENI is very keen to promote good health and safety through better design and has worked with industry which has been replacing machinery to ensure that new machinery meets the required standards.

### Exploration Drilling

A directional borehole was drilled on Islandmagee into salt horizons to verify the depth of rock salt and to establish its suitability to create large underground storage chambers to store compressed gas.

The project to create an underground chamber in salt horizons to store compressed air generated by wind energy is to move to Islandmagee. To date all the drilling operations have been carried out to a high standard with no major concerns. HSENI carried out an inspection initiative on drill rigs in order to improve standards.

Industry co-operated very well with this initiative. The company which had planned to drill an exploration borehole for hydrocarbons in North Antrim decided to stop any further work on this Project.

The stratigraphic borehole that was planned to be drilled in Co. Fermanagh is the subject of legal proceedings and no further work has taken place. Inspectors continue to attend appropriate training and information events so as to keep their knowledge up to date.

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HSENI is a member of the Shale Gas Regulators' Forum.

### Concrete Industry

Inspectors from the Extractive Industries Group have delivered training to the Health and Safety Authority Inspectors on the standards required in the prestressed precast concrete industry. Inspection activities continue to be carried out in the concrete industry.

Workplace transport and machinery guarding continue to be the top priorities.

### Mining Industry

Activity continues within the mining industry in Northern Ireland. Omagh Minerals Limited has obtained planning permission to develop a gold mine in the Cavanacaw area (Omagh) within the site of the current open-cast gold mine. Construction work for the access roadway has not commenced as yet.

Dalradian Gold Limited has started scoping discussions on the proposed development of a large scale gold mine in the Gortin area. Work is still continuing at the existing gold mine workings located at Camcosy Road, Gortin. A second audit of the salt mine at Carrickfergus has been completed. HM Inspectors of Mines in Great Britain continues to provide technical support to HSENI on mining activities and has been involved in inspections of all the mine workings in Northern Ireland.

### Abandoned Mines

The Department of Enterprise, Trade and Investment (DETI) has responsibility for abandoned mine workings in Northern Ireland. There are approximately 2,000 abandoned mine workings.

In order to manage these abandoned mine workings, DETI formed the Northern Ireland Mines Oversight Committee. HSENI provides technical support to this working committee.

During 2015-16, there were a few minor collapses of abandoned mine workings. No one was injured and action was taken quickly to make the sites safe.

### Quarry industry

HSENI's Inspection Priorities for 2015 were shared with the Quarry Products Association for Northern Ireland (QPANI).

QPANI identified appropriate guidance material which would assist the industry in addressing the inspection priorities and circulated this information to its membership.

HSENI, with the support of QPANI and the Institute of Quarrying, organised a series of workshops held at quarry premises targeting issues such as: geotechnical inspections of quarry faces; identification of misfires and how to deal with them safely; and for sand and gravel quarries where machinery guarding was one of the main issues covered.

These workshops were attended by quarry foremen and machine operators.

This initiative has now been completed with the last workshops being held on 25 and 26 February 2016. Nineteen workshops were held with over 300 delegates attending.

The Institute of Quarrying is to issue a certificate for one hour continual professional development to each delegate.

This initiative was very well received by the industry and it is hoped that the industry was given the tools to prevent serious / potentially fatal incidents with regard to quarry face management from occurring.

HSENI and its partners plan to continue this model and target transport as the next major topic. HSA and HSENI held two cross border meetings to discuss standards within the Extractive Industries and share statistics etc. Planning has started for the next cross border seminar planned for 19 October 2016.

HSENI continues to working with QPANI to get the message out that quarries are not playgrounds. A joint letter highlighting the 'Play Safe Stay Safe' campaign was sent to all school principals.

A joint press release was issued to alert the public of the dangers of very cold deep water in both active and abandoned quarries, and that these should not be used for swimming. The dangers of trespassing into quarries using quads and motor bikes would appear to be a growing problem. People are cutting down fences to gain access.

### Explosives and Fireworks

HSENI continues to assist the Department of Justice exercise its responsibility as the enforcing authority for explosives. HSENI Inspectors have also been examining shot-firing rules in quarries and where appropriate encouraging management to have these updated.

HSENI carried out over forty site risk assessments of District Council funded or organised fireworks displays and provided reports on each site to the Department of Justice.

HSENI carries out assessments of Shotfirers and advises the Department of Justice on the competency of Shotfirers who have applied for a Shotfirers' Licence.

### Planning Consultations

Following the change in Local Government responsibilities from 1 April 2016, HSENI will be required to liaise with the eleven Local Authorities in the future over planning issues related to quarries and major hazards. HSENI delivered a series of workshops to explain HSENI's role in the planning process.

### Work in other Industry Sectors

Inspectors in the Extractive Industries group provided expert evidence support for legal proceedings in Northern Ireland and assisted HSE(GB) in cases in both Scotland and England.

## General Manufacturing

The manufacturing sector includes companies which manufacture or process a wide range of products. These range from manufacturing wood based products, plastics, rubber, electronics, light and heavy engineering, aerospace, vehicles, through to pharmaceuticals and glass as well as repair and maintenance.

The manufacturing sector, including the food sector, now employs 79,780<sup>3</sup> which represents a 2.2% (1,710 jobs) increase in jobs during the year up to December 2015.

Two of the largest contributors to this increase were;

- the manufacture of machinery and equipment, where there was an increase of 12.4% (660 jobs); and
- the manufacture of rubber and plastic products which increased by 8.2% (470 jobs).

As in previous years, priority was again given to our core business activities of inspection and the investigation of complaints and incidents. Inspections and investigations again focused on workplace transport, operator training, the operation and maintenance of forklift trucks, lifting and slinging operations, slips and trips, machinery guarding, the control of contractors and health issues including noise, fumes and manual handling.

Inspectors also continued to highlight the key issues associated with safe work at

3.. (Source: Northern Ireland Quarterly Employment Survey (QES) Statistical Bulletin – published March 2016).

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height, safe maintenance including the isolation of machinery and equipment prior to maintenance or cleaning and the management of asbestos.

During the year, the group continued to engage with and further develop contacts with a range of co-enforcers including Councils, the PSNI and HSE(GB). In addition to attending training courses with colleagues in HSE(GB), the group also undertook practical training in both the woodworking and engineering/ aeronautical sectors.

### Product Safety – Supply of Machinery

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

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

During the year, working relationships continued to be developed with the Product Safety Unit in HSE(GB), the Health and Safety Authority (HSA) in the Republic of Ireland, the Department of Business, Innovation and Skills (BIS), with Border Force within Northern Ireland and with the Single Point of Contact (SPOC) for product safety across the UK. These relationships are essential for the effective investigation of Product Safety cases at the point of entry into Northern Ireland.

HSENI, along with colleagues in HSE(GB), has led on a major piece of work with Auction Houses and their role within the supply chain for machinery brought in from outside the European Economic Area (EEA).

HSENI will continue this work, as well work with other UK agencies, to produce a framework model for the role of the Auction House within the supply chain.

HSENI also represents Northern Ireland on the National Market Surveillance Coordination Committee (MSCC).

This provides a mechanism for cooperation, coordination and the exchange of information between Market Surveillance Authorities on policy obligations and policy concerning products which are marketed in the United Kingdom, including with regard to European Union legislation on product safety.

It also gives the opportunity to assess the UK's model of market surveillance and to address areas where improvements may be necessary, including the appropriateness of the range of different powers and sanctions currently used by the various authorities when applied to market surveillance activity under RAMS.

Cases of non-compliant and unsafe machinery involving local and EU manufacturers and importers, arising from complaints, inspections at Trade Shows and notifications from other European Market Surveillance Authorities, continue to be investigated as appropriate.

There continues to be strong evidence of non-compliant machinery and goods being imported into Northern Ireland from the Far East, and in particular from China.

This issue will require further work during 2016-17 to ensure importers are aware of their responsibilities in this area.

## Health, Social Care and Education

The health and social care and education sectors are two of the biggest public service employers in Northern Ireland.

They include charitable organisations which provide care and educational support within

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the community and a large private sector consisting of nursing homes and independent carers. Staff can be employed on a full or part-time basis and by the nature of the work can involve interaction with a high number of service users and members of the public.

The majority of the work carried out by Health, Social Care and Education group inspectors has been of a reactive nature, responding to requests for advice and investigating complaints and incidents.

During 2015-16 there was also a number of proactive initiatives, most notably the management of asbestos in non-controlled and independent schools, the control of legionella in cooling towers and evaporative condensers and the management of clinical waste in healthcare.

### Legionella

Legionnaires' disease is a potentially fatal pneumonia caused by legionella bacteria. Infection is caused by breathing in small droplets of water contaminated by the bacteria. Legionella bacteria are common in natural water courses such as rivers and ponds and may contaminate and grow in other water systems such as cooling towers and hot and cold water services.

They can survive low temperatures and thrive at temperatures between 20-45°C if a supply of nutrients is present such as rust, sludge, scale, algae and other bacteria. They are killed by high temperatures.

During the year, specialist inspectors continued the inspection programme aimed at industrial premises operating wet cooling systems such as cooling towers and/or evaporative condensers. These inspections followed a pattern of reviewing risk assessments, written schemes of control and statutory record keeping before a physical check of the plant was completed.

The inspections were attended by the company representatives, senior management and responsible persons, as well as a representative from the water treatment company contracted to service and maintain the plant.

Emphasis was placed on the recent review of the approved code of practice L8 and introduction of the revised guidance for control of legionella HSG 274 Parts 1-3. This work will be continued in the coming year with additional HSENI inspectors gaining valuable experience by accompanying the specialist inspectors to premises which are to be inspected.

### Control of Asbestos

Any building constructed before the year 2000 may have had asbestos containing materials (ACMs) used in its construction.

During 2015-16 the group continued work to measure compliance with the Control of Asbestos Regulations (Northern Ireland) 2012 in non-controlled and independent schools by carrying out inspections, issuing guidance and taking formal enforcement action to ensure improvements were made in relation to the school's duty to manage asbestos.

Issues identified during these inspections included but were not limited to, asbestos debris present, no asbestos management plans, no asbestos surveys or registers available for inspection, asbestos surveys or registers that were out of date and no clear roles or responsibilities in the management of asbestos at the school.

### Management of Clinical Waste

The management of healthcare waste is an essential part of ensuring that health and social care activities do not pose a risk of infection.

Arrangements for managing healthcare waste need to be part of an employer's overall health and safety management system.

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An initiative was undertaken in 2015-16 to review arrangements within the Health Trusts of Northern Ireland specifically regarding the management of clinical healthcare waste both in relation to policy and on a practical level on Trust sites.

Meetings with waste managers for each of the six Health Social Care Trusts examined waste policy, risk assessments and procedures, as well as types of waste produced, waste segregation, transport of waste, training for employees, incident reporting and monitoring arrangements including auditing tools.

Unannounced inspections were carried out across a selection of Trust sites to check for good practice and compliance with Trust policy. Where weaknesses were identified or policy was not being followed, practical improvements were implemented and additional follow ups with waste managers took place to ensure continued compliance.

Issues identified during these inspections are highlighted below:

- 1. Waste Segregation** – Different waste streams in the same store should be clearly separated, such that a leak from one waste category cannot contaminate the contents or packaging of another.
- 2. Overfilling of healthcare waste receptacles** – Overfilling bins prevents the lids closing and locking. Secure storage of waste is important on site and for the safe transport of waste off site.
- 3. Open / unlocked healthcare waste receptacles** – Healthcare waste should be stored securely so as to prevent escape of the waste, harm to the environment and harm to human health.
- 4. Storage of waste in corridors** – Storage areas at the point of production should be secure and located away from public areas.

**5. Transport arrangements for waste** – Waste should be transported in appropriate receptacles that are leak proof by design and have non porous interior surfaces free from cracks or other features which could damage packing inside, impede disinfection or permit inadvertent release. Different waste streams should also be clearly separated during transport, such that a leak from one waste category cannot contaminate the contents or packaging of another.

The initiative raised awareness of a variety of general and site specific issues and worked towards improving compliance with established policies. Resulting actions included alterations to waste holding areas, changes in transport arrangements, further staff training and reviews of frequency of waste collections to prevent overfilling.

### Biological Agents

Biological Agent report 2015-2016  
There are currently eight notified centres carrying out a wide range of work using Genetically Modified Organisms (GMOs) in Northern Ireland. These GMO centres are represented across private industry, academic institutions and government research bodies. The GMO work within these centres is regulated under the Genetically Modified Organisms (Contained Use) Regulations (Northern Ireland) 2015. This is a new set of regulations, which consolidates the Genetically Modified Organisms (Contained Use) Regulations (Northern Ireland) 2001 and its amending regulations.

The aim was to produce a single simplified set of up-to-date regulations, and thereby assist employers to comply with the legislation.

The 2015 Regulations transpose the EC directive on the contained use of genetically modified microorganisms (2009/41/EC) as well as implementing some domestic provisions related to the contained use of

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larger genetically modified organisms (e.g. GM animals, plants). In light of these changes, it has been necessary to update the guidance to the regulations (L29).

The revised guidance incorporates the principles from the wider review of health and safety guidance and Approved Codes of Practice (ACoPs) i.e. proportionate and assist in understanding how to manage risk.

Revisions to the guidance included removing much of the technical content and making it easier to understand for the duty holder.

The technical content will be part of a revised Scientific Advisory Committee on Genetic Modification (SACGM) Compendium of Guidance. The process to review this document is underway.

The 2015 regulations came into force on 23 October 2015. As an adjunct to this, a new Memorandum of Understanding was signed with HSE(GB) regarding technical support for GM activities in Northern Ireland.

Within Northern Ireland, work remains at class 2 and below.

During the year, three new applications were received by HSENI for new projects and a further two applications were received requesting that significant changes to previous risk assessments be approved.

Throughout the year duty holders sought guidance in relation to a range of issues in order to help them achieve compliance in projects involving GM and biological agents. This advice covered a range of questions including, how to carry out suitable and sufficient risk assessments when working with biological agents, suitable vaccination programmes for lab workers, as well as general guidance on the management, design and operation of microbiological containment laboratories.

HSENI also liaised with Public Health Agency Northern Ireland and a local company to investigate a cluster outbreak of pneumococcal disease and potential work-related aspects of the issue.

There is a known association between exposure to metal fume and pneumonia, and welding and invasive pneumococcal disease.

Whilst vaccination may reduce the risk of invasive pneumococcal disease, it should not replace the need for measures to prevent or reduce exposure to fume under Control of Substances Hazardous to Health (COSHH) regulations.

## Major Hazards and Gas Safety

HSENI's Major Hazards and Gas Group is involved in ensuring public and employee safety across a wide range of industries and activities including gas transmission, gas distribution and use, land use planning and sites subject to the Control of Major Accident Hazards Regulations (COMAH).

A wide range of advice was provided to local councils and government departments in relation to these areas.

### Gas Safety

In partnership with the District Council's and Liquefied Petroleum Gas (LPG) Suppliers, an LPG underground pipe-work initiative continued throughout the year.

This joint working has increased Environmental Health Officers' (EHOs) awareness of LPG bulk tank locations. The number of joint visits has resulted in better compliance in this area.

This year saw the commencement of the Gas to the West (GttW) project with the distribution network pipeline being laid from Maydown

to Strabane. Additionally, preparation and consultation work continues with the pipeline operators for the section of GttW out to the south west.

Liaison meetings with transmission and distribution network operators have revealed that safety case reviews will increase in 2016 due to the effects of GttW project. Partnership working continued with the Gas Safe Register on proactive and reactive visits, and inspections were conducted in the downstream private industrial and commercial sectors, with enforcement action being pursued as necessary.

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

The NI Competent Authority for the Seveso II Directive comprises the Northern Ireland Environment Agency (NIEA) and HSENI, acting as a joint Competent Authority to deliver a programme of inspection and advice for those sites subject to COMAH, with 10 sites being categorised at higher risk ("top-tier") and 14 sites as lower risk ("lower-tier").

The majority of COMAH sites in Northern Ireland are subject to these regulations because they have extensive oil and gas storage facilities.

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

HSENI also has responsibility for ensuring that emergency plans covering off-site risks are prepared, tested and reviewed for all "top-tier"

COMAH sites. HSENI is also involved in onsite emergency plan preparation and testing for "lower-tier" sites.

### **Land Use Planning**

HSENI is a statutory consultee to the Planning Service on developments in the vicinity of COMAH sites, gas transmission pipelines and other significant hazards.

This is to ensure members of the public (in particular vulnerable groups), who work or live near such hazardous installations, are not subjected to an unacceptable level of risk.

HSENI worked with our colleagues in Causeway Coast and Glens Borough Council to develop a training workshop for planning staff. The initial workshop dealt in detail with what exactly HSENI does as a consultee and what is needed from planning staff in order for HSENI to carry out its role efficiently and effectively.

A presentation was made by inspectors from the three sectors (COMAH, Gas and Quarry) highlighting the importance of consultation in relation to the Planning Advice for Developments near Hazardous Installations (PADHI).

This workshop was very well received by planning staff and was subsequently rolled out to planning staff within the remaining 10 councils during the course of 2015-16.

The Major Hazards and Gas Group advised on 280 such statutory consultations during this period.

### **Carbon Monoxide Awareness Campaign**

The Major Hazards & Gas Group continued with the Carbon Monoxide Awareness Campaign which is now in its sixth year, working in partnership with the home safety officers within the local councils' Gas Safe Register (GSR), NI Fire and Rescue Service



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(NIFRS), Royal Society for the Prevention of Accidents (RoSPA), and a number of community based groups.

During 2015-16 over 55,000 safety leaflets and posters were distributed and a number of carbon monoxide alarms were sourced and distributed.

## Major Investigation Team

The Major Investigation Team (MIT) has completed its eighth year of operation.

The team consisting of a Principal Inspector supported by four Inspectors, and one dedicated member of administration staff continues to investigate the most serious incidents where there is a possibility of legal proceedings.

During 2015-16, MIT took on investigations into 16 incidents (including three fatalities). Of these, two resulted in successful prosecutions, two are under consideration by the Public Prosecution Service of Northern Ireland (PPSNI), eight continue to be investigated and four were not recommended for prosecution.

Of the 16 new cases investigated by MIT, 10 fall into the categories of falls from height and unsafe systems of work involving work equipment.

These are areas which HSENI continues to focus on through general inspections, advertising campaigns, press articles and seminars to the relevant industries. In addition, the team carried forward 27 cases from previous years. Of these 27 cases, 13 have resulted in prosecution, six are either being considered by the PPSNI or are going through the Court process, two were not recommended for prosecution and six cases continue to be investigated.

In total, MIT submitted nine cases to the Public Prosecution Service between 1 April 2015 and 31 March 2016. Also, during the same period, there were a total of 15 prosecutions completed. The total amount of fines arising out of these cases was almost £278,000 with costs totalling almost £20,000<sup>4</sup>. In addition to prosecutions for safety related matters, HSENI also brought five successful prosecutions relating to cases of exposure to asbestos, resulting in fines totalling £73,000 plus prosecution costs totalling more than £5,000.

In all of the asbestos cases investigated, exposure occurred as a result of poor planning on behalf of those in control of the work. A recurring factor was the reliance on an inappropriate or inadequate survey to locate asbestos in premises and in some cases no asbestos survey existed prior to commencement of work on the building structure. As a result, employees and others were unnecessarily exposed to asbestos.

By cutting corners and through poor planning, companies not only risk the health of workers but there are also the financial implications of having to deal with potentially huge, unnecessary and unexpected bills that can total hundreds of thousands of pounds, particularly for clean-up costs of contaminated sites. These financial penalties can be a severe blow to company profits and operating costs. Such penalties are in addition to defence legal costs and increased insurance premiums, not to mention reputational damage.

MIT has continued to work closely with other enforcement agencies, and during 2015-16 the team was involved in seven joint investigations with the PSNI. Details of all prosecutions completed during 2015-16 are set out in Appendix 3 to this report.

In addition, following all prosecutions, HSENI released a press statement in order to highlight the failings which led to the incident, and as a means of signposting other duty holders to

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4. Costs associated with prosecution only – HSENI is unable to claim for investigation costs

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sources of information and advice on how to work safely and ultimately avoid prosecution.

## Public Sector

The Public Sector and Waste Group is comprised of one Principal Inspector and two Inspectors. The group covers local councils, central government and government agencies, disciplined services and the private waste sector.

In addition, a diverse range of specialist areas including noise, vibration, fairgrounds and the supply of chemicals are also included.

### Local Councils

HSENI's Public Sector and Waste Group continued to conduct a planned series of inspections, visits and investigations at local authority premises. High priority areas were identified and communicated to the Councils via the Local Authority Safety Advisers Network (LASAN).

These high priority areas included legionella control with a focus on spa pools, refuse collection, workplace transport and maintenance related activities. Where poor compliance was observed, proportionate enforcement action was taken.

Recent changes to local government districts in Northern Ireland prompted visits with newly appointed Chief Executives and Senior Management Teams. These visits helped ensure safety priorities remained high for each of the respective councils.

### Disciplined Services

These services comprise the Police Service of Northern Ireland, the Northern Ireland Fire and Rescue Service, the Northern Ireland Prison Service and the Ministry of Defence. The group has continued to provide these organisations with advice and guidance, as

well as conducting inspections of premises with a focus on workplace transport and safe maintenance.

### Waste Industry

The Northern Ireland waste sector by its very nature is not without risk and continues to face many challenges as a result of serious workplace incidents. Target areas for inspection have been established and include workplace transport and machinery guarding.

Efforts continue to raise awareness within the industry and where necessary proportionate enforcement action is taken to ensure employee safety.

### Waste Industry Safety and Health Forum (WISHNI)

The Waste Industry Safety and Health Forum (WISHNI) has continued to grow and provides health and safety resources for industry, as well as raising awareness through the sharing of best practice. The WISHNI forum meets every two to three months and consists of a partnership of private industry, local government and central government.

The third annual Ambassador Awards presentation took place at the Dunadry Hotel, County Antrim on 10 March 2016. Newly appointed Ambassadors were recognised for health and safety best practice and a willingness to engage with other businesses to help improve standards within the industry.

Four new organisations and two returning Ambassadors were recognised at the awards ceremony.

An additional award category this year was for 'Student Ambassador' which was co-sponsored by two private waste companies. The successful student, an Environmental Health undergraduate from Ulster University, was recognised for a piece of coursework which focused on the importance of machinery guarding and safety culture within

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the UK waste industry.

This year a health and safety seminar followed the awards ceremony and was attended by delegates from across the industry and included several informative presentations on the following topics:

- Fire protection and emergency response;
- All round visibility of vehicles;
- Machinery guarding and conveyor safety; and
- Technical competence.

In addition to the Ambassador Awards, a joint initiative with the Chartered Institute for Waste Management (CIWM) saw for the second year running an award recognising good practice in safety management presented at the Sustainable Ireland Awards. Both award schemes are designed to promote best practice and tackle the high rate of injury within the waste sector.

### **Government Departments/Agencies**

The group conducted further visits to higher risk government activities. Particular emphasis was placed on workplace transport, control of legionella, fire safety and safe maintenance during visits.

Advice was provided to senior managers on health and safety matters and assistance given to premises officers and safety advisers on discharging their responsibilities for maintaining a healthy and safe working environment.

### **Fairgrounds**

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

Inspectors have continued to visit small fairground operators as well as larger

established employers within the industry. A recent prosecution case followed an employee sustaining crush injuries during the dismantling of a ride.

Of the serious incidents that have occurred during 2015-16, the majority have related to the assembling and dismantling of amusement devices. The Group has also continued to emphasise to all funfair operators the importance of pre-use inspection and non destructive testing regimes when operating rides with high structural loading.

### **Safety of Industrial Chemicals**

Throughout 2015-16 inspectors in the group provided specialist advice on industrial chemical safety and continued to take part in the Registration, Evaluation, Authorisation and Restriction of Chemicals (REACH) UK Steering Committee and the Enforcement Liaison Group. Site inspection of selected chemical users and complaint investigation formed the bulk of activity within this specialist field.

The full implementation of the European Classification, Labelling and Packaging (CLP) Regulation led to an increase in the provision of practical advice to employers and small business owners as well as the development of web based advice.

### **Noise and Vibration**

Specialist advice on noise and vibration is provided by members of the group both to colleagues and employers as required. Cases of hand arm vibration continued throughout the year and have prompted several investigations.

Much of the advice offered in relation to controlling noise in the workplace has focused on the importance of a suitable and sufficient assessment that clearly identifies what action may be necessary to prevent or adequately control noise exposure to employees.

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## Transport and Public Utilities

The Transport and Public Utilities Group remit continues to extend across all transport modes as well as a wide range of service industries and peripatetic activities. It is difficult to judge the total numbers employed within this diverse arena, but it is estimated to be above 25,000.

Work has continued throughout the year to ensure that current memorandums of understanding are in place with other enforcement and accident investigation bodies in the rail and transport sectors.

### Carriage of Dangerous Goods by Road

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

A continuing programme of inspections was performed during 2015-16 to remind operators about the requirements for ADR tank testing.

### Railways

HSENI has continued to conduct joint inspections in conjunction with Northern Ireland Railways (NIR), Transport NI and PSNI.

The physical arrangements in terms of provision of appropriate barriers, signage, and vegetation control were examined at level crossings.

## Health and Safety at Work Legislation

One of the key objectives for HSENI is: "To ensure that an effective and up-to-date health and safety at work regulatory framework is maintained."

During 2015-16 HSENI continued to develop proposals for new legislation to control risks to the health and safety of people at work and submitted these proposals to the Department of Enterprise, Trade and Investment (DETI).

This process also involved liaising with the DETI Minister and the Enterprise, Trade and Investment Assembly Committee.

HSENI aims to identify EU Directives or GB proposals and secure Northern Ireland legislation within six months of the equivalent GB Regulations. In addition, HSENI uses intelligence led policy making to develop Northern Ireland Regulations which address local hazards.

Some Health and Safety legislation is made on a UK-wide basis. Where this legislation is being amended or new legislation made, HSENI aims to ensure that the Northern Ireland perspective is taken fully into account.

HSENI uses electronic media to publish all the consultation documents that have been prepared. The HSENI website contains all consultations undertaken.

However, hard copies or versions in more accessible formats are available on request. Following evaluation of the responses from consultees, draft Regulations are submitted to DETI to be formally made. HSENI also approves Codes of Practice to support the Regulations.

## Activity during the year

During the year, HSENI prepared six sets of Regulations, initiated five consultations, approved ten Codes of Practice for use in Northern Ireland and withdrew eleven.

Only one of the withdrawn Codes of Practice was not replaced by a revised, consolidated version. In addition, HSENI was also involved in the development of five sets of UK-wide Regulations.

Details of work completed are below:

Regulations prepared
The Health and Safety (Miscellaneous Repeals, Revocations and Amendments) Regulations (Northern Ireland) 2015 (S.R. 2015 No. 223)
The Biocidal Products (Fees and Charges) Regulations (Northern Ireland) 2015 (S.R. 2015 No. 254)
The Classification, Labelling and Packaging of Chemicals (Amendment) Regulations (Northern Ireland) 2015 (S.R. 2015 No. 265)
The Control of Major Accident Hazards Regulations (Northern Ireland) 2015 (S.R. 2015 No. 325)
The Genetically Modified Organisms (Contained Use) Regulations (Northern Ireland) 2015 (S.R. 2015 No. 339)
The Construction (Design and Management) Regulations (Northern Ireland) 2016 (S.R. 2016 No. 146)
Consultations initiated
Proposal for the Mines Regulations (Northern Ireland) 2015
Proposals on the transposition of Directive 2013/35/EU on the minimum health and safety requirements regarding the exposure of workers to the risks arising from physical agents – electromagnetic fields (EMF)

Proposals for new Equipment and Protective Systems Intended for Use in Potentially Explosive Atmospheres Regulations (Northern Ireland) 2016 to implement Directive 2014/34/EU (the ATEX Directive)
Proposals for the Freight Containers (Safety Convention) (Amendment) Regulations (Northern Ireland) 2016
Proposals for the Health and Safety (First- Aid) (Amendment) Regulations (Northern Ireland) 2016
Revised Approved Codes of Practice and Guidance published
Safe use of work equipment (Fourth edition)
Safe use of power presses (Second edition)
Safe use of woodworking equipment (Second edition, reissued with amendments, 2015)
Unloading petrol from road tankers: Dangerous Substances and Explosive Atmospheres Regulations 2002 (Second edition)
Commercial diving projects offshore (Second edition)
Commercial diving projects inland/inshore (Second edition)
Recreational diving projects (Second edition)
Media diving projects (Second edition)
Scientific and archaeological diving projects (Second edition)
*Safety in Docks (First edition)
Existing Approved Codes of Practice and Guidance withdrawn
Safe use of work equipment
Safe use of power presses
Safe use of woodworking equipment
**The compilation of safety data sheets: Chemicals (Hazard Information and Packaging for Supply) Regulations 2002 (Third edition)
Unloading petrol from road tankers: Dangerous Substances and Explosive Atmospheres Regulations 2002

Commercial diving projects offshore
Commercial diving projects inland/inshore
Recreational diving projects
Media diving projects
Scientific and archaeological diving projects
Safety in Docks

\*Although this ACOP replaced the existing "Safety in docks" ACOP it has been published as a first edition.

\*\*Code of practice withdrawn without replacement as, following legislative changes, it no longer had any legal effect.

## Administration

### 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.

### Equality

HSENI's revised Equality Scheme, submitted to the Equality Commission in May 2012, was approved by the Commission on 24 April 2013 and signed by HSENI's Chair and Chief Executive on 9 July 2013.

A copy of the revised Equality Scheme was subsequently issued to all Section 75 consultees on 31 October 2013. The Equality Scheme will be revised during 2016-17 in line with HSENI's new Corporate Plan.

During 2015-16, HSENI:

- carried out equality screening exercises in respect of proposals for five sets of health and safety regulations/approved codes of practice. None of these exercises identified any adverse or differential impacts for section 75 groups and, in year, none of the responses to any subsequent consultation exercises disagreed with these findings;
- as part of the Farm Safety Partnership, continued with its multi-media farm safety campaign. The campaign, launched in 2012-13, runs under the banner of "Stop and Think SAFE", with SAFE representing the four main dangers on farms – Slurry, Animals, Falls and Equipment. It aims to get farmers, including older farmers, to look at their behaviours and to adopt a safer approach to working on their farms. It also encourages the involvement of those who can influence them – wives, daughters, sons, grandchildren and other relatives and friends;
- continued its work on its child safety on farms campaign, reaching over 8,000 primary school children with its presentations delivering key messages for staying safe on the farm;
- continued with the child safety on farms poster competition with entries from almost 3,500 pupils from 80 primary schools. A 2016 calendar was produced from the winning entries and this was distributed to 39,000 families of children attending 424 rural primary schools in Northern Ireland, providing key monthly messages on how to avoid the dangers of working or playing on the farm;
- participated in 8 rural 'Bee Safe' events speaking to some 4,000 pupils on the three key farm safety messages, namely tractors and other machinery, safety with animals, and safe play on the farm;

provided several publications aimed specifically at providing information on HSENI's information services for migrant workers who do not have English as their first language. HSENI has provided these publications, in hard copy and on the web, in a number of ethnic minority languages; and

- continued to provide the pictorial Universal Safety Booklet, for high risk work sectors, aimed at those who do not have English as their first language or have difficulty in reading.

### 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 career development and well managed personal development plans.

HSENI's staff complement is 123. 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 2016, there were 29 staff working on part time or partial retirement arrangements.

In February 2015, the N.I. Executive approved a Voluntary Exit Scheme (VES) for the Northern Ireland Civil Service (NICS). Departments and Non-Departmental Public Bodies (NDPBs) were asked to examine 2015-16 Resource budgets and identify savings proposals in the region of 4% - 6%. HSENI achieved a reduction of £300,000 by letting nine existing staff and two staff currently on career break leave.

A breakdown at 31 March 2016 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.

	Male	Female
<b>Board Members</b>	7 (7)	2 (2)
<b>Senior Managers</b>	3 (3)	1 (1)
<b>Employees</b>	47 (58)	60 (68)

The overall HSENI managing attendance figure for 2015-16 was a total of 1049 (2014-15: 1042) staff days lost.

This equates to 9.6 (2014-15: 8.3) days per staff member during the year.<sup>5</sup>

During 2015-16 HSENI Human Resources:

- addressed key actions from the Wellbeing at Work staff survey;
- administered the Voluntary Exit Scheme and oversaw the renovation of HSENI's headquarters at Ladas Drive to facilitate the relocation of HSENI teams from Longbridge House; and
- provided advice and assistance to senior management in relation to the restructuring exercise.

HSENI continues to:

- create an inclusive, safe and healthy working environment for all staff;
- actively pursue fairness and equality;
- remain committed to Investors In People;
- seek staff input through its staff suggestion scheme and Continuous Improvement Team;
- encourage team working within an open and participative management culture; and
- maintain good industrial relations and liaise regularly with Trade Union representatives.

5. Figures for staff days lost and days sickness absence per staff member are sourced from NISRA who have advised that the figures are provisional and should not be quoted as an official absence rates. Final figures not expected until September 2016.

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## Human Rights

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.

HSENI has provided Human Rights awareness training for all staff as well as more specialist training for certain groups of staff and will continue to do so based on need.

## Disabled Employees

HSENI follows the NI Civil Service Code of Practice on the Employment of Disabled People and aims to ensure that disablement is not a bar to recruitment or advancement.

## Health and Safety within HSENI

HSENI's Corporate Plan for 2011 to 2015 (extended to include 2015-16) 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 on the agenda at all Senior Management Team and Board meetings.

## Quality of Service

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

- operates in a consistent and co-ordinated manner in the appliance of Service First principles;
- treats all its customers in an open, fair and impartial way;
- puts things right if they go wrong and explains how to complain if dissatisfied;
- ensures that suppliers are paid promptly in line with Better Payment Practice;
- maintains good industrial relations and liaises regularly with Trade Union representatives;

- has an independent customer satisfaction survey carried out within the lifetime of its Corporate Plan; and
- exploits the benefits of information technology in the delivery of its service.

## Service First - Key Customer Standards

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

- identify ourselves by name on the telephone and in letters. Field staff will carry identification;
- meet personal callers, with or without an appointment, within 5 minutes of arrival;
- provide a response to an enquiry within 10 working days;
- treat in confidence information that HSENI receives unless it is required to disclose that information for legal reasons;
- respond to requests for leaflets within 5 working days; and
- ensure that complaints are dealt with quickly and effectively.

## Service Complaints

The Head of HSENI's Services Division is responsible for ensuring that complaints are dealt with quickly and effectively.

During the year there were five 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's Information Security Policy, which was produced in July 2010, was reviewed in January 2016 to ensure its content was up to date and in line with current procedures for managing personal and corporate data appropriately and securely.



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HSENI completed a review to assess the effectiveness of the internal processes which support the Security Policy Framework.

The results of the review were reported to DETI in the annual Security Risk Management Overview (SRMO) in May 2015.

In relation to adherence to the Security Policy Framework, HSENI achieved a substantial overall assurance.

The security of information is specifically addressed in HSENI's Risk Register and HSENI is represented at Information Security meetings held between DETI and its NDPBs.

### 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 the Department of Finance and Personnel'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.

### Employee Involvement

HSENI issued its fourth staff attitude survey to 123 staff in 2015. A total of 105 survey responses were received representing a response rate of 85%, HSENI continues to receive higher ratings than the NICS across all areas.

The area that saw improvement in all questions was Line Management, however there was a slight deterioration in some areas and HSENI is committed to addressing the concerns raised in the survey through continued staff development and involvement of employees in decision making processes.

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 the staff away day at RADAR in November 2015. The Senior Management Team also encourages consultation and exchange of information within HSENI. In addition, a system of team briefing provides the framework for managers to update staff on a monthly basis on Board decisions, organisational topics and issues.

Other channels to maximise staff involvement include appraisal, SHINE newsletter, SharePoint Intranet, working groups such as the Continuous Improvement Team and the informal breakfast events.

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. HSENI has held its Investors in People award since 1998, and in 2014 was successful in achieving the next stage of accreditation, the Bronze award.

### Enforcement Guidelines

HSENI's Enforcement Guidelines enshrine the principles contained in the Regulators' Code produced by the Better Regulation Delivery Office of the Department for Business Innovation and Skills in July 2013.

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**

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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.

### Organisational Development

HSENI remains committed to the learning and development of its people. HSENI places a high priority on staff training and development in order to enhance staff skills for the achievement of our business objectives and to improve job satisfaction.

We are committed to achieving business excellence through continuous improvement and this is demonstrated through the successful upgrading of our Investors in People accreditation to bronze award in May 2014.

HSENI undertook a comprehensive range of learning and development activities for staff in accordance with its Learning and Development Plan 2015-16. This amounted to 473.5 training days spent on organisational, team and individual training needs. This represents 1.93% of staff days available.

HSENI's investment in learning and development has included the structured training programme undertaken by the nine trainee inspectors who began their training in November 2013 and our existing inspectors who avail of a range of training courses to ensure they receive the same professional development opportunities as their GB counterparts in a wide range of disciplines, including:

- Biocides training;

- Asbestos training; and
- Control of Substances Hazardous to Health.

Much of this specialist training is organised through HSE(GB) and the Health and Safety Laboratory (HSL).

Training needs are also met through the NICS training provider, the Centre for Applied Learning (CAL). Staff took part in a range of courses which included training on:

- Tender evaluation;
- Presentation skills;
- Handling requests for information;
- Personal resilience; and
- Recruitment and Selection – Interview panel skills / Interview standards and legislation

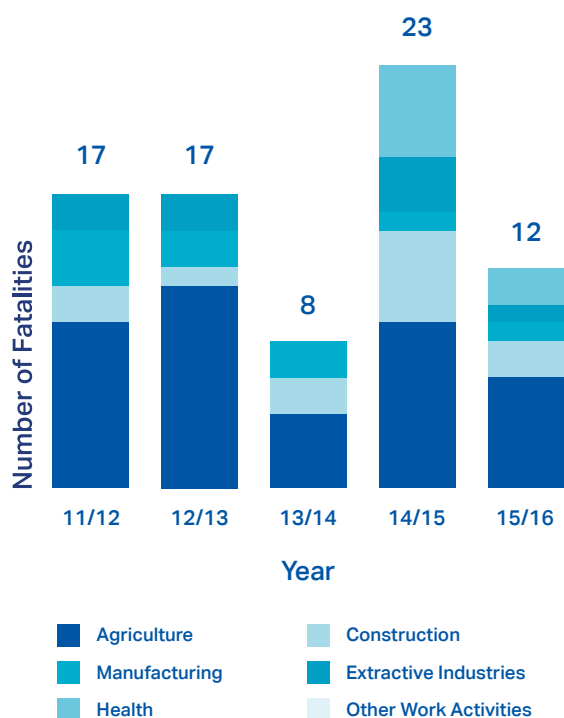
# Statistics

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 2015-16 are provisional.

Figure 1 shows that there were 12 fatal injuries during the reporting period, which represents a decrease from the previous year's figure of 23. Of the 12 fatal injuries during 2015-16, six occurred in agriculture, two in construction, one in general manufacturing, one in health and two in other work activities.

The decrease in fatal injuries was most marked in the agricultural sector, which saw a decrease from nine in 2014-15 to six in 2015-16.

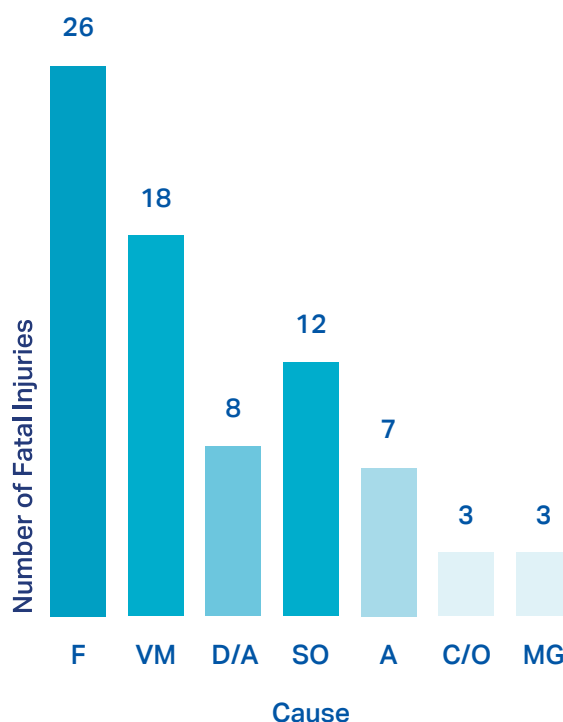
**Figure 1: Reported Fatal Injuries Analysis by Work 2011/12 - 2015/16**



Because of the small statistical base, HSENI publishes analyses of fatal injury causations on the basis of five-year records.

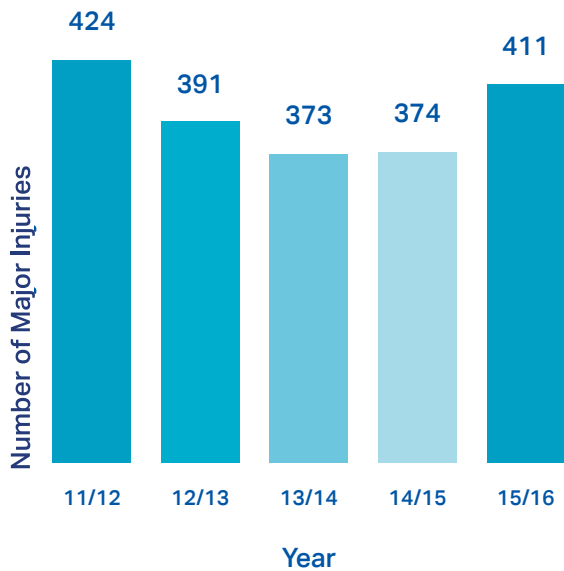
The most recent analysis is shown in Figure 2. The most frequent causations over the last five years were: falls (F); vehicle movements (VM); drowning/asphyxiation (D/A); being struck by an object (SO); animals (A); collapse/overturn (C/O); and machinery guarding (MG).

**Figure 2: Reported Fatal Injuries Analysis by Cause 2011/12 - 2015/16**

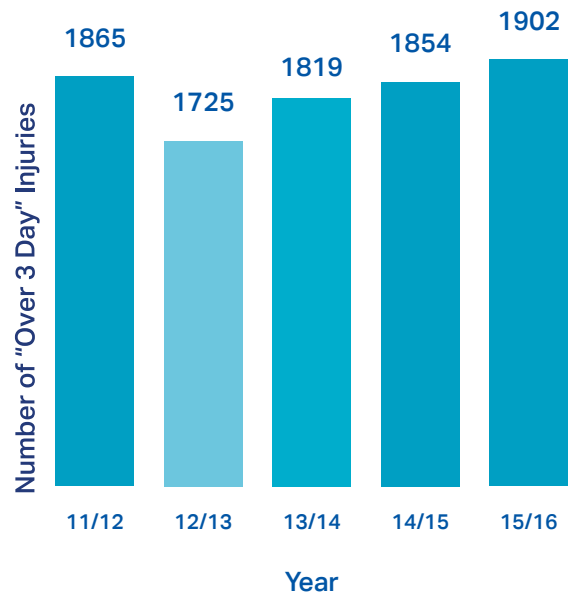


While HSENI has confidence in the number of fatal injuries recorded, it is generally recognised that there is a significant degree of under-reporting of incidents in other categories. Nevertheless trends relating to these categories can provide a useful indicator as to general health and safety performance in Northern Ireland. During the year there were 37 more non-fatal major injuries reported to HSENI than the number in the previous year as illustrated in Figure 3.

**Figure 3: Reported Major Injuries  
2011/12 - 2015/16**



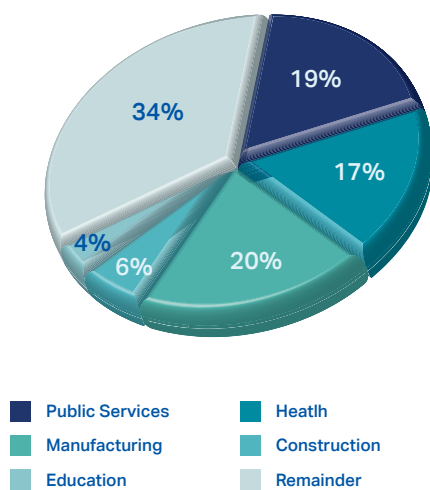
**Figure 4: Reported "Over 3 Day" Injuries  
2011/12 - 2015/16**



There were 1,902 reported "over 3 day" injuries during the year, which was a 2.6% increase when compared to the number in the previous year as illustrated in Figure 4. This represents a 2% increase on the five year peak experienced in 2011-12.

Figures 5 and 6 represent the analyses of all injuries by work sector and by causation respectively. 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  
2015/16 Analysis by Work Sector**



**Figure 6: All Reported Injuries  
2015/16 Analysis by Cause**

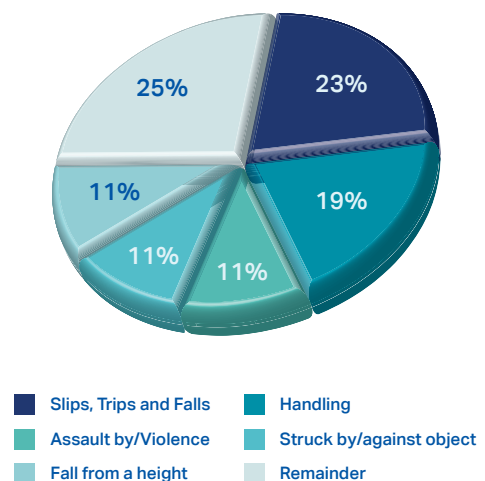
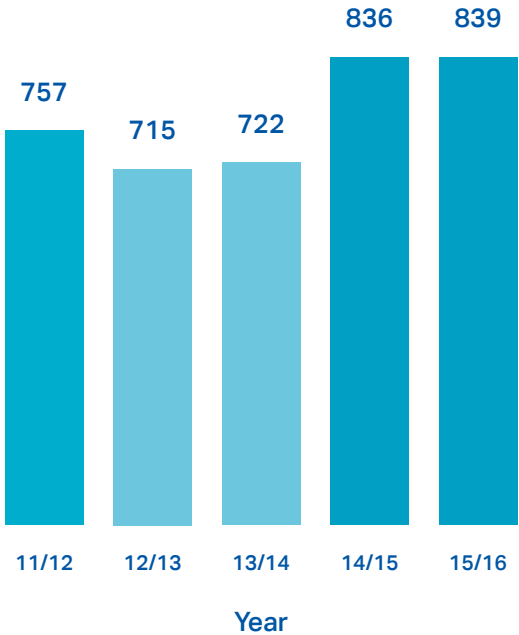


Figure 7 illustrates the number of complaints received by HSENI relating to alleged unsatisfactory working conditions and work-related activities.

**Figure 7: Complaints Received  
2011/12 - 2015/16**



This year saw a 0.4% increase in the number of complaints being made when compared to the previous year.

This number of complaints represents a five year high, the previous highest number having been recorded in 2014-15.

# 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. (P) Indicates that the figure is provisional.

## 1. Health and Safety at Work Statistics 2015-16

Fatal Injuries	13	(26)
Major Injuries	451(P)	(438)
Over 3 Day Injuries	2313(P)	(2276)
<b>TOTALS</b>	<b>2777(P)</b>	<b>(2740)</b>

## 2. Statistics by Enforcing Authority

	Fatal Injuries		Major Injuries		Over 3 Day injuries	
HSENI	12	(23)	411(P)	(386)	1902(P)	(1854)
District Councils	1	(3)	40(P)	(52)	411(P)	(422)
<b>TOTALS</b>	<b>13</b>	<b>(26)</b>	<b>451(P)</b>	<b>(438)</b>	<b>2313(P)</b>	<b>(2276)</b>

## 3. Five year Trends

	2011-12	2012 - 13	2013 - 14	2014 - 15	2015 - 16
Fatal Injuries	18	19	10	26	13
Major Injuries	495	428	472	438	451
Over 3 day Injuries	2350	2132	2171	2276	2313
<b>TOTALS</b>	<b>2863</b>	<b>2579</b>	<b>2653</b>	<b>2740</b>	<b>2777</b>

#### 4. All Reportable Fatal Injuries - Five year trend by Enforcing Authority

	2011-12	2012 - 13	2013 - 14	2014 - 15	2015 - 16
HSENI	17	17	8	23	12
District Councils	1	2	2	3	1
<b>TOTALS</b>	<b>18</b>	<b>19</b>	<b>10</b>	<b>26</b>	<b>13</b>

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

	2011-12	2012 - 13	2013 - 14	2014 - 15	2015 - 16
NI Employees at June rounded to the nearest thousand <sup>6</sup>	697	693	699	720	730 (Dec 15)
NI Fatal Injuries (Employees only)	7	3	3	7	0
NI Fatal Injuries incidence rate per 100,000 employees	1.00	0.43	0.43	0.97	0
GB Fatal Injuries incidence rate per 100,000 employees	0.50	0.40	0.44	0.46	N/Available

6. Employment figures for 2011/12 have been adjusted from those quoted in previous Annual Reports following a review carried out in June 2013. This has had consequential affect on some of the NI rates quoted for those years also.

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

**Table 1: Asbestos-related deaths in Northern Ireland 2011-2015**

Primary / Secondary Cause				
Registration Year	Mesothelioma without asbestosis	Asbestosis * without mesothelioma	Mesothelioma and asbestosis *	All Primary or Secondary cause
2011	51	20	1	<b>72</b>
2012	48	13	1	<b>62</b>
2013	41	19	1	<b>61</b>
2014	39	22	2	<b>63</b>
2015 **	TBC			

\*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

\*\*Figures supplied by Demographic Statistics, Northern Ireland Research and Statistics Agency (2015 figures not available until July/August 2016)

**Table 2: Asbestos-related deaths in Northern Ireland 2011-2015: where asbestosis or mesothelioma are coded as the primary cause of death**

Primary Cause			
Registration Year	Mesothelioma	Asbestosis *	All primary cause
2011	49	7	<b>56</b>
2012	48	4	<b>52</b>
2013	40	8	<b>48</b>
2014	41	8	<b>49</b>
2015 **	TBC		

\* 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

\*\*Figures supplied by Demographic Statistics, Northern Ireland Research and Statistics Agency (2015 figures not available until July/August 2016)

### Reported Diseases 2015-16

Under the RIDDOR Regulations, HSENI initially received 41 reports of diseases, seven of which were later confirmed as non-reportable.

Within the reportable category there were: 22 cases of hand-arm vibration syndrome (one of which is still to be confirmed); two cases of carpal tunnel syndrome; four cases of occupational dermatitis; two cases of traumatic inflammation of the tendons; one case of Pulmonary Tuberculosis; two cases of cramp of hand or forearm (one of which is still to be confirmed); and one case of Rickettsiosis. The confirmed cases came from 18 different employers.



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# Accountability Report

## Corporate Governance Report Directors' Report

### Directors

The directors of HSENI during 2015-16 included the Chairman, Board Members and the Senior Management Team. The HSENI Chairman and Board Members during 2015-16 were George Lucas (Chair), Hilary Singleton (Deputy Chair), Billy Graham, John Kane, Dr Mark Wilkinson, Lindsey Smith, Harry Sinclair, Tom Wright, and Maynard Mawhinney. The Senior Management Team during 2015-16 was comprised of the Chief Executive, Keith Morrison, and three Deputy Chief Executives, Bryan Monson, Nicola Monson and Dermot Breen (replaced by Louis Burns with effect from November 2015).

### 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 1.11 of the Notes to the Executive's Accounts, and a reference to the statements of the relevant pension scheme is contained in the Remuneration Report.

### Register of Interests

The HSENI Board is supported by a secretariat, located within Corporate Support Group, which is responsible for the maintenance of a register of interests that contains details of company directorships and other significant interests held by Board members which may conflict with their management responsibilities.

Access to the information in that Register can be obtained by writing to the Board Secretary, Health and Safety Executive for Northern Ireland, 83 Ladas Drive, Belfast, BT6 9FR or by emailing mail@hseni.gov.uk and marking your email "FAO Board Secretary".

### Sickness Absence Data

The overall HSENI managing attendance figure for 2015-16 was a total of 1049 staff days lost. This equates to an average of 9.6 days sickness absence per staff member during the year.

### Personal Data Related Incidents

During the year, there was one data loss. The matter was reported to the Information Commissioner who determined the incident did not meet the criteria set out in the Data Protection Regulatory Action Policy and therefore did not necessitate further action by the ICO. HSENI implemented measures to minimise the likelihood of such an event reoccurring.

### Future Developments in Health and Safety

HSENI's new Corporate Plan will be finalised during 2016-17. HSENI's will focus on activities which are associated with the most serious outcomes such as fatalities and life changing injuries. This will ensure our resources are targeted on areas where we can achieve the greatest change for people at work.

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During 2016-17, HSENI aims to:

- deliver a multi-media Farm Safety campaign in line with the Farm Safety Partnership's Action Plan 2014-2017;
- deliver the objectives set out in the Farm Safety Partnership Action Plan (identified for HSENI) by March 2017;
- deliver farm safety presentations to children in 80 rural primary schools and run a safety on farms poster competition aimed at rural primary school pupils;
- hold a series of targeted events in conjunction with partner organisations aimed at priority issues, such as occupational lung disorders, occupational cancers, mental health wellbeing and other work-related health issues, and aimed at high risk work sectors, such as agriculture, construction, waste and extractive industries;
- continue to work with a range of public sector bodies in reducing sickness absence associated with work-related stress;
- distribute 6,000 copies of the "Be Safe When You Start" booklet to young people and students entering the world of work for the first time;
- deliver 10 presentations to students and apprentices to raise awareness of asbestos in their industry;
- through our business advisors, provide advice to 170 premises on health and safety issues specific to the business needs, priority areas, and risks where appropriate;
- undertake at least 5,000 inspections across all work sectors for which HSENI is responsible, aimed at improving levels of compliance with health and safety standards; and
- work in partnership with the district councils in delivering joint work activity on "Safe Skin".

## Other Developments

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

## Audit

The financial statements are audited by the Comptroller and Auditor General for Northern Ireland (C&AG) in accordance with the Health and Safety at Work (Northern Ireland) Order 1978 as amended by the Health and Safety at Work (Amendment) (Northern Ireland) Order 1998. The C&AG is Head of the Northern Ireland Audit Office and he and his staff are wholly independent of the Health and Safety Executive for Northern Ireland. He reports his findings to the Northern Ireland Assembly. The audit of the financial statements for 2015-16 resulted in an audit fee of £9,300 and is included in the other operating charges in the Net Expenditure Account.

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

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.



**K Morrison**  
Chief Executive  
Date: 15 June 2016

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## 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 of Enterprise, Trade and Investment 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 net resource outturn, application of resources, changes in taxpayers' equity 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 of Enterprise, Trade and Investment 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; and
- prepare the financial statements on a going concern basis.

The Accounting Officer of the Department of Enterprise, Trade and Investment 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 Managing Public Money Northern Ireland (MPMNI) published by HM Treasury.



**K Morrison**  
Chief Executive  
Date: 15 June 2016

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# Governance Statement

## Introduction

This is the fourth 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 2015-16 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 six key organisational structures which support the delivery of corporate governance in HSENI are:

- the HSENI Board;
- the Audit and Risk Management Committee;
- the Health and Safety Executive/Local Authority Liaison (HELANI) Committee;
- the Remuneration Committee;
- Monthly Senior Management Team meetings; and
- Quarterly Oversight and Liaison meetings with HSENI's sponsoring body, the Department of Enterprise, Trade and Investment (DETI).

## 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.

## HSENI's Board

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

HSENI's Board currently comprises of nine members including the Chairman, George Lucas, who was appointed on 1 April 2011.

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.

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The Board is comprised entirely of independent members.  
Its membership during 2015-16 was as follows:



**George Lucas**  
Chair



**Hilary Singleton**  
Deputy Chair



**Billy Graham**



**John Kane**



**Dr Mark Wilkinson**



**Lindsey Smith**



**Harry Sinclair**



**Tom Wright**



**Maynard Mawhinney**

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While HSENI is a Crown body and its staff are civil servants, the Board is the employer of HSENI staff and is responsible for appointing its Chief Executive and for setting appropriate remuneration for this post.

The Board contributes to the good governance of HSENI by offering constructive challenge across all of HSENI's business. This is with a view to ensuring that all aspects of strategy and delivery of policy are scrutinised for effectiveness and efficiency.

Day-to-day operational matters are the responsibility of the Chief Executive and Deputy Chief Executives that make up HSENI's Senior Management Team.

The Board has corporate responsibility for ensuring that HSENI fulfils the aims and objectives set by DETI 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 DFP 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.

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## **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. The ARMC is chaired by a Board Member, Hilary Singleton. The ARMC also includes three other Board Members, John Kane, Lindsey Smith and Dr Mark Wilkinson in its structure. Other attendees include HSENI officials and observers, namely representatives of Northern Ireland Audit Office and HSENI's externally appointed Internal Auditors. The role of the ARMC is to provide reassurance to the Board by overseeing:

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

The ARMC also periodically reviews its own effectiveness and reports the results of that review to the Board. The last review was completed in relation to the 2014-15 year in June 2015 and submitted to the Board at its meeting on 25 June 2015.

The only point for consideration following this self-assessment exercise was in relation to appropriate training. Following this, HSENI liaised with the Board and ARMC Chairs to arrange suitable refresher training for all Board and ARMC members and training took place on 29 February 2016.

## **Health and Safety Executive/Local Authority Liaison (HELANI) Committee**

The HELANI Committee is a liaison committee. Its aim is to develop and maintain a productive and effective working partnership with HSENI's co-enforcers, the NI District Councils. The Committee is chaired by a Board Member, Billy Graham, and Maynard Mawhinney also represents the Board on the Committee. The Committee normally meets three times a year but due to the changes taking place in Local Government, activity at a strategic level was scaled down until the new Council structures were established.

This process meant Council personnel involved in partnership working were uncertain about where they would be assigned in the new structures. However, the partnership joint work continued and communication on joint working issues was maintained through the Partnership Liaison Officer.

## **Remuneration Committee**

The Remuneration Committee normally meets once a year to review the performance of the Chief Executive and to recommend to the Department the Chief Executive's pay award. During 2015-16, the Committee, comprised of the Chair, George Lucas, the Deputy Chair, Hilary Singleton and Board member, Billy Graham, discussed the Chief Executive's progression against objectives in June 2015.

## **Monthly Senior Management Team Meeting**

HSENI's monthly Senior Management Team Meeting is the regular formal meeting of senior management to discuss ongoing operational issues.

It is chaired by the Chief Executive and attended by the three Deputy Chief Executives. Minutes of these meetings are published on HSENI's website.

### Quarterly Oversight and Liaison Meetings

Oversight and Liaison meetings with DETI 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.

Attendance at these meetings and any matters of note are reported to HSENI's Board by the Chief Executive.

### 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. More detailed Operating Plans are prepared on an annual basis.

The detailed stages of the corporate and business planning processes are built into the HSENI's Board work programme.

### Secretariat

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

New members are provided with an induction pack and programme.

### Board Attendance

During the 2015-16 year, HSENI's Board met a total of five times. Details of the attendance of individuals who were board members during the year are as follows:

Board Member	Number of Meetings Attended	Out of a Possible
George Lucas	4	5
Hilary Singleton	5	5
John Kane	5	5
Mark Wilkinson	5	5
Billy Graham	4	5
Maynard Mawhinney	4	5
Lindsey Smith	5	5
Harry Sinclair	5	5
Tom Wright	5	5

During the 2015-16 year, issues considered by HSENI's Board included:

- HSENI's annual Budget allocation and issues arising therefrom;
- management accounting information relating to the actual use of financial resources;
- human resource issues, including managing attendance and the impact of the Voluntary Exit Scheme;
- legislative progress and proposals;
- progress in relation to outputs and outcomes (performance targets); and
- the identification and management of risk.



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## 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 (formerly DETI'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 during quarter two of 2014-15 and the next review is scheduled for the Board meeting to be held in October 2016.

## 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 2015-16 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.

Corporate risks being managed at 31 March 2016 and key actions being taken in mitigation related to:

### Retention and availability of specialist/ skilled staff

The inability to retain or recruit specialist/skilled staff means that HSENI would have difficulty in delivering the commitments contained in the Corporate Plan and Operating Plan, which in turn presents a risk to the reputation and credibility of the organisation.

This issue was particularly prevalent during 2015-16 with a number of staff leaving as a result of the NICS Voluntary Exit Scheme (VES).

Actions taken to mitigate against the occurrence of this risk included a restructuring exercise undertaken by SMT to deal with the impact of staff exits as a result of the VES, regular discussions with appropriate units in DETI to discuss how best to deal with recruitment issues at a time of budgetary constraints, as well as a number of Human Resource measures to help enhance the standing of the organisation in non-monetary terms for employees.

### Failure to secure sufficient funding to maintain services

Despite a reduction of 11% in the 2015-16 budget, regular financial planning meetings between SMT and Finance as well as prioritisation of work ensured minimal impact on HSENI's service delivery during 2015-16.

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Regular discussions with DETI throughout the year to promote the importance of HSENI's work and the potential impact of a further reduction in budget resulted in confirmation from DETI that the 2016-17 budget would remain at the same level as that of 2015-16, reducing the risk that HSENI's service delivery is affected during 2016-17.

### **Damage to HSENI's Reputation**

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.

During 2015-16, HSENI developed a Conflicts of Interest Policy and Declaration of Interests form for completion by both Board members and staff to help ensure that conflicts of interest are identified and managed in a way that safeguards the integrity of HSENI staff and Board members and maximises public confidence in the organisation's ability to deliver public services properly.

Performance of the organisation is regularly monitored by HSENI's Senior Management Team and the Board.

### **Financial loss through Legal Proceedings being brought against HSENI**

The fruition of this risk could be due to a number of factors including failure of staff to adhere to HSENI policies and procedures. The organisation has a number of controls in place to mitigate this risk.

These include robust selection, recruitment and training processes for all staff and for inspectorate staff in particular.

### **Failure to prevent and detect fraud and a failure to report suspected fraud**

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 Fraud and Whistleblowing Policies. The Anti Fraud Policy and Fraud Response Plan and the Whistleblowing Policy were both reviewed during 2015-16 to ensure guidance was accurate and up to date and that relevant contact details reflected recent changes in HSENI's personnel.

### **Major disruption to business**

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.

During 2015-16, the relocation of a number of staff from Longbridge House to Ladas Drive, as well as the refurbishment of a number of areas within Ladas Drive, presented the risk of disruption to business for a number of weeks while work was ongoing.

However, detailed planning of the work programme in conjunction with DFP and building contractors ensured that disruption to work was minimal.

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### **'Emerging risks' within HSENI and their potential root causes are:**

#### **Loss of funding due to potential budget cuts**

Confirmation has been received from DETI that the 2016-17 will essentially remain at the 2015-16 level. However, loss of funding remains a risk within HSENI until the three year budget for 2017-18 to 2019-20 has been confirmed later in the year; and

#### **Loss of staff with specialist knowledge due to the NICS Voluntary Exit Scheme**

The Voluntary Exit Scheme has now ended and all staff who accepted the VES offer have now left HSENI. The restructuring exercise to take account of staff exits has been completed and took effect on 1 April 2016.

However, monitoring of staff requirements, recruitment exercises to replace specialist staff and close monitoring by Senior Management Team of the bedding in process following the restructuring exercise will continue throughout quarters one and two of 2016-17.

These Emerging Risks are being, and will continue to be, managed through detailed planning and best use of resources.

#### **Six Monthly Assurance Statements**

Every six months HSENI's Chief Executive provides an Assurance Statement to DETI's Permanent Secretary, who is the Departmental Accounting Officer for DETI. 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 2015-16.

#### **Data Security**

HSENI completed a review to assess the effectiveness of the internal processes which support the Security Policy Framework.

The results of the review were reported to DETI in the annual Security Risk Management Overview (SRMO) in May 2015. In relation to adherence to the Security Policy Framework, HSENI achieved a substantial overall assurance. 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. HSENI's Internal Audit Service, PricewaterhouseCoopers (PwC), completed a review of HSENI's Reputation Risk as part of its 2015-16 programme.

The scope of the review included information security and data protection policies and procedures as well as data loss. The review resulted in a substantial assurance. During the year, there was one incident of data loss. The matter was reported to the Information Commissioner who determined the incident did not meet the criteria set out in the Data Protection Regulatory Action Policy and therefore did not necessitate further action by the ICO. HSENI implemented measures to minimise the likelihood of such an event reoccurring. HSENI was represented at the annual NDPB Data Security Forum held in October 2015, which was chaired by DETI's Departmental Information Officer.

#### **Freedom of Information (FOI) and Environmental Information Regulations (EIR) Requests**

During 2015-16, HSENI dealt with 56 Freedom of Information requests and 10 Environmental Information Regulations requests. These requests varied in nature and originated from a number of sources, including the general public, private companies and MLAs.

#### **Internal Audit**

HSENI has externally appointed Internal Auditors, who operate to HM Treasury's Public Sector Internal Audit Standards.

The Internal Auditors construct their annual audit programme on the basis of an Internal Audit Strategy covering the period 2015-16 to 2017-18 and also take into account the objectives and risks faced by HSENI, including any emerging risks.

The Internal Audit programme for 2015-16 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.

A substantial assurance was given 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 2016.

#### **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 in April 2013, in so much as they can be read across to NDPBs.

#### **Quality of Data Used by HSENI's Board**

HSENI's Board is issued with the most up-to-date data sources ahead of each board meeting. The data is collated into a number of key reports, drawn from a wide range of sources, covering the core functions of the organisation, including budgets and finance, performance monitoring, legislation, human resources, investigations and prosecutions, all of which are subject to internal audit scrutiny.

The Board also draws assurance from the fact that data relating to financial information and absenteeism is derived from NICS wide systems such as Account NI and HR Connect. These systems are subject to scrutiny by DFP'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 2015-16.

#### **Ministerial Directions**

No Ministerial Directions were issued during the 2015-16 financial year.

#### **Public Accounts Committee Issues**

HSENI was not required to provide evidence to the Assembly's Public Accounts Committee during 2015-16.

#### **Other Issues**

##### *Voluntary Exit Scheme*

An NICS-wide Voluntary Exit Scheme launched on 2 March 2015 in a bid to address significant budget pressures facing Departments in the context of the 2015-16 Budget. The Scheme operated throughout 2015-16 and made offers to staff via five tranches. 17 staff within HSENI received offers, of which 12 accepted. HSENI's Senior Management Team met regularly throughout the year to discuss the implications of staff exits, and have put measures in place to address the loss of skills and experience.

A restructuring exercise has been completed, a process to recruit specialist staff has been instigated, and training requirements throughout the organisation are being closely monitored by SMT. These measures should ensure that despite the loss of staff, HSENI's essential services are not affected.



**K Morrison**  
Chief Executive  
Date: 15 June 2016

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# Remuneration and Staff Report

## Remuneration Report

The Minister of Finance approves the pay remit for Senior Civil Service (SCS) staff. The SCS remuneration arrangements are 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. In 2012, upon creation, there were 11 points on each scale. This was subsequently reduced to 10 points in 2014 and 9 points in 2015 to allow progression through the pay scales within a reasonable period of time.

## Remuneration Committee

The Remuneration Committee meets once a year to review the performance of the Chief Executive and to recommend to the Department the Chief Executive's pay award. The Committee comprises the Chairman, Deputy Chairman and one other Board member. The composition of the Committee which met during 2015-16 was George Lucas, Hilary Singleton and Billy Graham. Board salaries are set by the Public Appointments Unit in the Department of Enterprise, Trade and Investment.

## Service Contracts

Civil Service appointments are made in accordance with the Civil Service Commissioners' Recruitment Code, which requires appointment to be on merit on the basis of fair and open competition but also includes the circumstances when appointments may otherwise be made.

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

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

## Salary and Pension Entitlements (audited information)

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

Senior Management	2015-16			2014-15		
	Salary (£'000)	Pension Benefits (to nearest £1000)*	Total (£'000)	Salary (£'000)	Pension Benefits (to nearest £1000)*	Total (£'000)
<b>Keith Morrison</b> Chief Executive	65-70	41	105-110	65-70	24	90-95
<b>Dermot Breen</b> Deputy Chief Executive (to 31st October 2015)	35-40 (full year equivalent: 60-65)	(15)	20-25 (full year equivalent: 45-50)	60-65	6**	65-70
<b>Louis Burns</b> Deputy Chief Executive (from 1st November 2015)	20-25 (full year equivalent: 50-55)	18	40-45 (full year equivalent: 70-75)	-	-	-
<b>Bryan Monson</b> Deputy Chief Executive	60-65	35	95-100	60-65	17	75-80
<b>Nicola Monson</b> Deputy Chief Executive	55-60	32	85-90	55-60	29	80-85
<b>Band of Highest Paid Manager</b>	<b>65-70</b>			<b>65-70</b>		
<b>Median Total Remuneration</b>	<b>33,528</b>			<b>31,135</b>		
<b>Ratio</b>	<b>2.0</b>			<b>2.2</b>		

\* 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 decreases due to a transfer of pension rights.

\*\* Pension Benefits for 2014-15 has been revised on the basis of new information provided by Pensions Branch.

Reporting bodies are required to disclose the relationship between the remuneration of the highest-paid manager in their organisation and the median remuneration of the organisation's workforce. The banded remuneration of the highest-paid manager in HSENI in the financial year 2015-16 was £65-70k (2014-15, £65 – 70k).

This was 2.0 times (2014-15, 2.2) the median remuneration of the workforce, which was £33,528 (2014-15, £31,135).

In 2015-16, 0 (2014-15, 0) employees received remuneration in excess of the highest-paid manager. 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. None of the senior members of HSENI received bonuses or benefits in kind during the year 2015-16 or 2014-15.

Board Members	2015-16	2014-15
	Salary (£'000)	Salary (£'000)
<b>George Lucas</b> Chairperson	15-20	15-20
<b>Billy Graham, John Kane, Hilary Singleton, Maynard Mawhinney, Lindsey Smith, Mark Wilkinson, Harry Sinclair, Tom Wright</b>	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 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.

## Bonuses

Bonuses are based on performance levels attained and are made as part of the appraisal process. Bonuses relate to the performance in the year in which they become payable to the individual. No bonuses became payable to senior staff in the current or previous year.

## Pension Entitlements (audited information)

	Accrued pension at pension age as at 31/3/16 and related lump sum	Real increase in pension and related lump sum at pension age	CETV at 31/3/16	CETV at 31/3/15	Real increase in CETV
Senior Management	£'000	£'000	£'000	£'000	£'000
<b>Keith Morrison</b> Chief Executive	25-30	0-2.5	436	381*	21
<b>Dermot Breen</b> Deputy Chief Executive (to 31st October 2015)	20-25 plus lump sum of 70-75	(0-2.5) plus lump sum of (0-2.5)	529	518*	(14)
<b>Louis Burns</b> Deputy Chief Executive (from 1st November 2015)	10-15 plus lump sum of 40-45	0-2.5 plus lump sum of 0-2.5	257	226	17
<b>Bryan Monson</b> Deputy Chief Executive	15-20 plus lump sum of 50-55	0-2.5 plus lump sum of 0-2.5	319	276*	20
<b>Nicola Monson</b> Deputy Chief Executive	10-15 plus lump sum of 40-45	0-2.5 plus lump sum of 0-2.5	250	215*	17

\* CETV at 31/3/15 has been revised on the basis of new information provided by Pensions Branch

Board positions within HSENI are not pensionable.

## Northern Ireland Civil Service (NICS) Pension arrangements

Pension benefits are provided through the Northern Ireland Civil Service pension arrangements which are administered by Civil Service Pensions (CSP). 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). These arrangements are unfunded with the cost of benefits met by monies voted by the Assembly each year.

From April 2011 pensions payable under classic, premium and classic plus are increased annually in line with changes in the Consumer Prices Index (CPI). Prior to 2011, pensions were increased in line with changes in the Retail Prices Index (RPI). New entrants joining on or after 1 October 2002 and before 30 July 2007 could choose between membership of premium or joining a good quality '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 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 rate is 2.3%. CARE pension benefits are increased annually in line with increases in the CPI. A new pension scheme, alpha, was introduced for new entrants from 1 April 2015. The majority of existing members of the NICS pension arrangements have 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 also 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 rate is 2.32%. CARE pension benefits are increased annually in line with increases in the CPI. Increases to public sector pensions are the responsibility of HM Treasury.

Pensions are reviewed each year in line with the cost of living. Increases are applied from April and are determined by the CPI figure for the preceding September. The CPI in September 2015 was negative (-0.1%) and HM Treasury has announced that there will be no increase to public service pensions from April 2016. Therefore public service pensions will remain at their current level.

Employee contribution rates for all members for the period covering 1st April 2016 – 31st March 2017 are as follows:

Annualised Rate of Pensionable Earnings (Salary Bands)		Contribution rates – All other members	
From	To	From 01 April 2016 to 31 March 2017	From 01 April 2016 to 31 March 2017
£0	£15,000.99	3.80%	4.60%
£15,001.00	£21,000.99	4.60%	4.60%
£21,001.00	£47,000.99	5.45%	5.45%
£47,001.00	£150,000.99	7.35%	7.35%
£150,001.00 and above		8.05%	8.05%



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Benefits in classic accrue at the rate of 1/80th of pensionable salary for each year of service. In addition, a lump sum equivalent to three years' pension is payable on retirement.

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

The partnership pension account is a stakeholder pension arrangement. The employer makes a basic contribution of between 3% and 14.7% (depending on the age of the member) into a stakeholder pension product chosen by the employee. The employee does not have to contribute but where they do make contributions, the employer will match these up to a limit of 3% of pensionable salary (in addition to the employer's basic contribution).

Employers also contribute a further 0.5% of pensionable salary to cover the cost of centrally-provided risk benefit cover (death in service and ill health retirement).

The accrued pension quoted is the pension the member is entitled to receive when they reach pension age, or immediately on ceasing to be an active member of the scheme if they are at or over pension age.

Pension age is 60 for members of **classic**, **premium** and **classic plus** and 65 for members of **nuvos**. The normal pension age in alpha will be linked to the member's State Pension Age but cannot be before age 65.

Further details about the NICS pension arrangements can be found at the website <https://www.finance-ni.gov.uk/topics/working-northern-ireland-civil-service/civil-service-pensions-ni>.

## Cash Equivalent Transfer Values

A Cash Equivalent Transfer Value (CETV) is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time.

The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme or arrangement to secure pension benefits in another pension scheme or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies.

The CETV figures, and from 2003-04 the other pension details, include the value of any pension benefit in another scheme or arrangement which the individual has transferred to the NICS pension arrangements. They also include any additional pension benefit accrued to the member as a result of their purchasing additional years of pension service in the scheme at their own cost.

CETVs are calculated in accordance with The Occupational Pension Schemes (Transfer Values) (Amendment) Regulations 2008 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.

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### 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.

The actuarial factors used to calculate CETVs changed during the 2015-16 year and, consequently, CETV figures increased even without any further pension accrual. 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.

# Staff Report

## Staff Costs (audited information)

Staff costs comprise:

			2015-16 £000	2014-15 £000
	Permanently employed staff £'000	Others £'000	Total £'000	Total £'000
Wages and salaries	4,080	25	4,105	4,015
Social security costs	298	-	298	314
Other pension costs	833	-	833	783
	<b>5,211</b>	<b>25</b>	<b>5,236</b>	<b>5,112</b>

The Northern Ireland Civil Service pension schemes are unfunded multi-employer defined benefit schemes but HSENI is unable to identify its share of the underlying assets and liabilities. The most up to date actuarial valuation was carried out as at 31 March 2012.

This valuation is then reviewed by the Scheme Actuary and updated to reflect current conditions and rolled forward to the reporting date of the DFP Superannuation and Other Allowances Resource Accounts as at 31 March 2016.

For 2015-16, employers' contributions of £833,492 were payable to the NICS pension schemes (2014-15 £782,679) at one of three rates in the range 20.8% to 26.3% of pensionable pay, based on salary bands. The scheme's Actuary reviews employer contributions every four years following a full scheme valuation.

A new scheme funding valuation based on data as at 31 March 2012 was completed by the Actuary during 2014-15.

This valuation was used to determine employer contribution rates for the introduction of alpha, from April 2015. For 2016-17, the rates will range from 20.8% to 26.3%. The contribution rates are set to meet the cost of the benefits accruing during 2015-16 to be paid when the member retires, and not the benefits paid during this period to existing pensioners.

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

No persons (2014-15: nil) retired early on ill-health grounds; the total additional accrued pension liabilities in the year amounted to £nil (2014-15: £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:

			2015-16	2014-15
	Permanent staff	Others	Total	Total
Directly employed	122	-	112	116
Other	-	1	1	2
Total	<b>122</b>	<b>1</b>	<b>113</b>	<b>118</b>

### Staff Composition

A breakdown at 31 March 2016 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.

	Male	Female
Board Members	7 (7)	2 (2)
Senior Managers	3 (3)	1 (1)
Employees	47 (58)	60 (68)

### Sickness Absence Data

The overall HSENI managing attendance figure for 2015-16 was a total of 1049 staff days lost. This equates to an average of 9.6 days sickness absence per staff member during the year.

### 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.

### Expenditure on Consultancy

HSENI did not incur any expenditure on Consultants during the 2015-16 financial year.

### Off-payroll Engagements

HSENI did not engage in any off-payroll arrangements during the 2015-16 financial year.

**Reporting of Civil Service and other compensation schemes – exit packages  
(audited information)**

<b>Exit package cost band</b>	<b>Number of compulsory redundancies</b>	<b>Number of other departures agreed</b>	<b>Total number of exit packages by cost band</b>
<£10,000	- (-)	1 (-)	1 (-)
£10,000 - £25,000	- (-)	6 (-)	6 (-)
£25,000 - £50,000	- (-)	3 (-)	3 (-)
£50,000 - £100,000	- (-)	2 (-)	2 (-)
£100,000 - £150,000	- (-)	- (-)	- (-)
£150,000 - £200,000	- (-)	- (-)	- (-)
<b>Total number of exit packages</b>	<b>- (-)</b>	<b>12 (-)</b>	<b>12 (-)</b>
<b>Total resource cost / £</b>	<b>- (-)</b>	<b>£372,875 (£nil)</b>	<b>£372,875 (£nil)</b>

Redundancy and other departure costs have been paid in accordance with the provisions of the Civil Service Compensation Scheme (Northern Ireland), a statutory scheme made under the Superannuation (Northern Ireland) Order 1972. Exit costs are accounted for in full in the year of departure. Where the NDPB has agreed early retirements, the additional costs are met by the NDPB and not by the Civil Service pension scheme.

Ill-health retirement costs are met by the pension scheme and are not included in the table.

*Keith Morrison*

**K Morrison**  
Accounting Officer  
Date: 15 June 2016

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# 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 DFP, including Managing Public Money Northern Ireland.

## **Fees and Charges (audited information)**

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

## **Losses and Special Payments**

HSENI did not make any losses, gifts or special payments requiring disclosure in the current financial year. Voluntary Exit Scheme Payments made during the year are detailed in the Remuneration and Staff Report.

## **Remote Contingent Liabilities**

HSENI is not aware of any remote contingent liabilities.

## **Long-term Expenditure Trends**

HSENI is currently funded on a year by year basis. The budget allocation for 2016-17 has been set at a similar level to 2015-16. 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.

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# Auditor's Report

## THE CERTIFICATE AND REPORT OF THE COMPTROLLER AND AUDITOR GENERAL TO THE NORTHERN IRELAND ASSEMBLY

I certify that I have audited the financial statements of the Health and Safety Executive for Northern Ireland for the year ended 31 March 2016 under the Health and Safety at Work (Northern Ireland) Order 1978.

These comprise the Statements of Comprehensive Net Expenditure, Financial Position, Cash Flows, Changes in Taxpayers' Equity and the related notes. These financial statements have been prepared under the accounting policies set out within them.

I have also audited the information in the Remuneration and Staff Report and the Assembly Accountability Disclosures within the Accountability Report that is described in that report as having been audited.

### Respective responsibilities of the Accounting Officer and auditor

As explained more fully in the Statement of Accounting Officer's Responsibilities, the Accounting Officer is responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. 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.

I conducted my audit in accordance with International Standards on Auditing (UK and Ireland). Those standards require me and my staff to comply with the Auditing Practices Board's Ethical Standards for Auditors.

### Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the Health and Safety Executive for Northern Ireland's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Health and Safety Executive for Northern Ireland; and the overall presentation of the financial statements.

In addition I read all the financial and non-financial information in the Annual Report to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit.

If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my report. 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.

### 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.

### Opinion on financial statements

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 2016 and of the net expenditure for the year then ended; and
- the financial statements have been properly prepared in accordance with the Health and Safety at Work (Northern Ireland) Order 1978 and Department for the Economy (formerly Department of Enterprise, Trade and Investment) directions issued thereunder.

### Opinion on other matters

In my opinion:

- the parts of the Remuneration and Staff Report and the Assembly Accountability Disclosures within the Accountability Report to be audited have been properly prepared in accordance with Department for the Economy (formerly Department of Enterprise, Trade and Investment) directions made under the Health and Safety at Work (Northern Ireland) Order 1978; and

- the information given in the Annual 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

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 Remuneration and Staff Report and the Assembly Accountability Disclosures within the Accountability Report to be audited are not in agreement with the accounting records; or
- I have not received all of the information and explanations I require for my audit; or
- the Governance Statement does not reflect compliance with Department of Finance (formerly Department of Finance and Personnel) guidance.

### Report

I have no observations to make on these financial statements.



#### **KJ Donnelly**

Comptroller and Auditor General  
Northern Ireland Audit Office  
106 University Street  
Belfast  
BT7 1EU  
21 June 2016



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# Health and Safety Executive for Northern Ireland

## Financial Statements for the year ended 31 March 2016

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**Statement of Comprehensive Net Expenditure**  
*for the year ended 31st March 2016*

		2015-16	2014-15
	Notes	£'000	£'000
Other operating income		54	36
	4		
<b>Total operating income</b>		<b>54</b>	<b>36</b>
Staff costs	2	5,236	5,112
Depreciation	3	27	20
Other operating expenditures	3	1,586	1,876
<b>Total operating expenditure</b>		<b>6,849</b>	<b>7,008</b>
<b>Net expenditure for the year</b>		<b>6,795</b>	<b>6,972</b>

There were no other recognised gains or losses in the period.  
All amounts above relate to continuing operations.

The notes on pages 86 to 93 form part of these accounts.

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## Statement of Financial Position

as at 31st March 2016

		31st March 2016	31st March 2015
	Notes	£'000	£'000
<b>Non-current assets:</b>			
Property, plant and equipment	5	54	71
Intangible assets	6	-	-
<b>Total non-current assets</b>		<b>54</b>	<b>71</b>
<b>Current assets:</b>			
Trade and other receivables	9	240	263
Cash and cash equivalents	8	408	521
<b>Total current assets</b>		<b>648</b>	<b>784</b>
<b>Total assets</b>		<b>702</b>	<b>855</b>
<b>Current liabilities:</b>			
Trade and other payables	10	550	545
<b>Total current liabilities</b>		<b>550</b>	<b>545</b>
<b>Total assets less total liabilities</b>		<b>152</b>	<b>310</b>
<b>Taxpayers' equity and other reserves:</b>			
Revaluation reserve		-	-
General reserve		152	310
		152	310

The financial statements on pages ### to ### were approved by the Board on 15 June 2016 and were signed on its behalf by;

*Keith Morrison*

**K Morrison**, Chief Executive  
Date: 15 June 2016

The notes on pages 86 to 93 form part of these accounts.

## Statement of Cash Flows

for the year ended 31st March 2016

	Notes	2016 £'000	2015 £'000
<b>Cash flows from operating activities</b>			
Net operating cost		(6,795)	(6,972)
Adjustment for depreciation charge on non-current assets	3	27	20
Adjustment for gain on disposal of transport equipment	3	(5)	-
Adjustment for notional costs	3	306	535
Decrease/(Increase) in trade and other receivables	9	23	(62)
(Decrease)/Increase in trade and other payables	10	5	103
<b>Net cash outflow from operating activities</b>		<b>(6,439)</b>	<b>(6,376)</b>
<b>Cash flows from investing activities</b>			
Purchase of property, plant and equipment	5	(10)	(18)
Proceeds of disposal of transport equipment	3	5	-
<b>Net cash outflow from investing activities</b>		<b>(5)</b>	<b>(18)</b>
<b>Cash flows from financing activities</b>			
Grants from sponsoring department; Capital Grant-in-Aid Financing		10	40
Funding of Staff and Operating Expenditure*		5,726	5,619
Funding of Programme Expenditure		595	858
<b>Net financing</b>		<b>6,331</b>	<b>6,517</b>
<b>Net increase/(decrease) in cash and cash equivalents in the period</b>	8	<b>(113)</b>	<b>123</b>
<b>Cash and cash equivalents at the beginning of the period</b>	8	<b>521</b>	<b>398</b>
<b>Cash and cash equivalents at the end of the period</b>	8	<b>408</b>	<b>521</b>

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

The notes on pages 86 to 93 form part of these accounts.

**Statement of Changes in Taxpayers' Equity**  
for the year ended 31st March 2016

<b>Notes</b>	<b>Revaluation Reserve</b>	<b>General Reserve</b>	<b>Total Reserves</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
<b>Balance at 31st March 2014</b>	-	231	231
Capital Grant-in-Aid Financing – DETI	-	40	40
Funding of Staff and Operating Expenditure – Request for Resource B – DETI	-	5,619	5,619
Funding of Programme Expenditure – Request for Resource B – DETI	-	858	858
<b>Grants from Sponsoring department for 2014-15</b>	-	<b>6,517</b>	<b>6,517</b>
Non-cash charges	-	534	534
Comprehensive net expenditure for the year	-	(6,961)	(6,961)
Auditor's remuneration	-	(11)	(11)
<b>Balance at 31st March 2015</b>	-	<b>310</b>	<b>310</b>
Capital Grant-in-Aid Financing – DETI	-	10	10
Funding of Staff and Operating Expenditure – Request for Resource B – DETI	-	5,726	5,726
Funding of Programme Expenditure – Request for Resource B - DETI	-	595	595
<b>Grants from Sponsoring department for 2015-16</b>	-	<b>6,331</b>	<b>6,331</b>
Non-cash charges	-	306	306
Comprehensive net expenditure for the year	-	(6,786)	(6,786)
Auditor's remuneration	-	(9)	(9)
<b>Balance at 31st March 2016</b>	-	<b>152</b>	<b>152</b>

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

The Revaluation Reserve records the unrealised gain or loss on the revaluation of intangible assets. All such assets have been fully amortised.

The notes on pages 86 to 93 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 2015-16 Government Financial Reporting Manual (FReM) issued by the Department of Finance and Personnel (DFP). The accounting policies contained in the FReM apply International Financial Reporting Standards (IFRS) as adapted or interpreted for the public sector context. Where the FReM permits a choice of accounting policy, the accounting policy which is judged to be most appropriate to the particular circumstances of the Health and Safety Executive for Northern Ireland (HSENI) for the purpose of giving a true and fair view has been selected.

The particular policies adopted by HSENI are described below. They have been applied consistently in dealing with items that are considered material to the accounts. Management has reviewed new accounting standards that have been issued but are not yet effective, nor adopted early, for these accounts. Management consider that these are unlikely to have any significant impact on the accounts in the period of initial application.

### 1.1. Accounting Convention

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

### 1.2. Property, Plant and Equipment

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

### 1.3. Depreciation

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

Transport equipment	- 25% straight line
Furniture & fittings	- 25% straight line.

### 1.4. Intangible Assets

#### **Computer Software**

The Department of Enterprise, Trade and Investment acquired a Case Management System (CMS) in 2005-06 for use by HSENI.

This CMS system was retrospectively capitalised in the 2008-09 year under IAS 38 Intangible Assets.

The useful economic life of the asset was estimated at 6 years to March 2012.

This system is still in use within HSENI but work has begun to procure a replacement system. HSENI acquired the accounting software, Microsoft Dynamics NAV in 2009-10.

The useful economic life of the asset was estimated at 4 years to March 2014.

The system is still in use within HSENI. 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.

## 1.6. Fees and Charges

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

Medical Examinations by EMAS, Asbestos Licensing and GMO Permits.

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.

## 1.7. Leases

Leases are classified as operating lease contracts whenever the terms of the lease do not transfer substantially all the risks and benefits to the lessee.

Rentals payable under operating leases are expensed to the net expenditure account on a straight-line basis over the lease term.

## 1.8. 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.

## 1.9. Grant-in-Aid

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

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

Budget for Staff and Operating Expenditure within HSENI is retained by DETI on behalf of HSENI and is used to administer this type of expenditure through HSENI's existence as a separate cost centre within DETI's finance system. Payments are approved by HSENI budgetholders but the payment is made from DETI's bank account.

HSENI is accountable for the level and propriety of spend but does not physically receive the cash funding. Due to the nature of this arrangement, the Grant-in-Aid associated with this budget matches the level of expenditure.

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

## 1.10. 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 DETI on HSENI's behalf.

### 1.11. Pensions

Past and present employees are covered by the provisions of the NICS pension arrangements. The rate for the employer's contribution is set by the Government Actuary and for 2015-16 was dependent on salary range. All contributions are charged to the Statement of Comprehensive Net Expenditure as incurred.

### 1.12. 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.

### 1.13. 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.

### 2.0. Staff Costs

Staff costs comprise:

			2015 - 16 £'000	2014 - 15 £'000
	Permanently employed staff	Others	Total	Total
	£'000	£'000	£'000	£'000
Wages and salaries	4,080	25	4,105	4,015
Social security costs	298	-	298	314
Other pension costs	833	-	833	783
	<b>5,211</b>	<b>25</b>	<b>5,236</b>	<b>5,112</b>



### 3. Other Expenditure

	Notes	2015-16 £'000	2014-15 £'000
Advertising and publicity		493	559
Motor and travel expenses		141	167
Inspection and enforcement		185	122
Staff training		115	89
Other Staff Related Costs		80	74
Printing, postage and stationery		29	44
Contract cleaning		25	21
Heat and light		17	19
Scientific services		16	25
Office maintenance		13	11
Telephone		48	54
Recruitment costs		2	4
Rentals under operating leases		11	11
Internal audit and accountancy		15	12
Research		7	10
Car parking		9	9
Premises costs		24	26
Catering and hospitality		2	2
IT costs		4	8
Staff equipment		14	10
Auditor's remuneration		9	11
Legal fees		20	40
Staff development		6	11
Other expenditure		-	2
Non-cash items			
Depreciation	5	27	20
Amortisation	6	-	-
Gain on disposal of transport equipment		(5)	-
Notional accommodation charge		274	505
Notional Departmental Solicitors Office charge		32	30
		<b>1,613</b>	<b>1,896</b>

### 4. Income

	2015-16 £'000	2014-15 £'000
Licence, subscription and conference fees	45	23
Other income	9	13
	<b>54</b>	<b>36</b>

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

## 5. Property, plant and equipment

<b>2015/16</b>	<b>Transport equipment</b>	<b>Furniture &amp; fittings</b>	<b>Total</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
<b>Cost or valuation</b>			
At 1 April 2015	47	340	387
Additions	-	10	10
Disposals	(23)	(28)	(51)
<b>At 31 March 2016</b>	<b>24</b>	<b>322</b>	<b>346</b>
<b>Depreciation</b>			
At 1 April 2015	23	293	316
Charged in year	6	21	27
Disposals	(23)	(28)	(51)
<b>At 31 March 2016</b>	<b>6</b>	<b>286</b>	<b>292</b>
<b>Carrying amount at 31 March 2016</b>	<b>18</b>	<b>36</b>	<b>54</b>
<b>Carrying amount at 31 March 2015</b>	<b>24</b>	<b>47</b>	<b>71</b>
<b>Asset financing:</b>			
Owned	18	36	54
<b>Carrying amount at 31 March 2016</b>	<b>18</b>	<b>36</b>	<b>54</b>

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

<b>2014/15</b>	<b>Transport equipment</b>	<b>Furniture &amp; fittings</b>	<b>Total</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
<b>Cost or valuation</b>			
At 1 April 2014	23	343	366
Additions	24	13	37
Disposals	-	(16)	(16)
<b>At 31 March 2015</b>	<b>47</b>	<b>340</b>	<b>387</b>
<b>Depreciation</b>			
At 1 April 2014	23	289	312
Charged in year	-	20	20
Disposals	-	(16)	(16)
<b>At 31 March 2015</b>	<b>23</b>	<b>293</b>	<b>316</b>
<b>Carrying amount at 31 March 2015</b>	<b>24</b>	<b>47</b>	<b>71</b>
<b>Carrying amount at 31 March 2014</b>	<b>-</b>	<b>54</b>	<b>54</b>
<b>Asset financing:</b>			
Owned	24	47	71
<b>Carrying amount at 31 March 2015</b>	<b>24</b>	<b>47</b>	<b>71</b>

## 6. Intangible assets

Intangible assets comprise a Case Management System (CMS) to store relevant data on Health & Safety investigations and the accounting software, Microsoft Dynamics NAV, which is used to administer HSENI's programme expenditure.

<b>Information Technology 2015/16</b>	<b>Total £'000</b>
<b>Valuation</b>	
At 1 April 2015	210
Additions	-
Revaluations	-
<b>At 31 March 2016</b>	<b>210</b>
<b>Amortisation</b>	
At 1 April 2015	210
Charged in year	-
Revaluations	-
<b>At 31 March 2016</b>	<b>210</b>
<b>Carrying amount at 31 March 2016</b>	<b>-</b>
<b>Carrying amount at 31 March 2015</b>	<b>-</b>
<b>Asset financing:</b>	
Owned	-
<b>Carrying amount at 31 March 2016</b>	<b>-</b>

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

<b>2014/15</b>	<b>Total £'000</b>
<b>Valuation</b>	
At 1 April 2014	210
Additions	-
Revaluations	-
<b>At 31 March 2015</b>	<b>210</b>
<b>Amortisation</b>	
At 1 April 2014	210
Charged in year	-
Revaluations	-
<b>At 31 March 2015</b>	<b>210</b>
<b>Carrying amount at 31 March 2015</b>	<b>-</b>
<b>Carrying amount at 31 March 2014</b>	<b>-</b>
<b>Asset financing:</b>	
Owned	-
<b>Carrying amount at 31 March 2015</b>	<b>-</b>

## 7. Financial Instruments

As the cash requirements of the Health and Safety Executive for Northern Ireland (HSENI) are met through Grant-in-Aid provided by the Department of Enterprise, Trade and Investment, 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. Cash and cash equivalents

	2015-16 £'000	2014-15 £'000
Balance at 1 April	521	398
Net change in cash and cash equivalent balances	(113)	123
<b>Balance at 31 March</b>	<b>408</b>	<b>521</b>
	-	
The following balances at 31 March were held at:		
Commercial banks and cash in hand	408	521
<b>Balance at 31 March</b>	<b>408</b>	<b>521</b>

## 9. Trade receivables and other current assets

	2015-16 £'000	2014-15 £'000
<b>Amounts falling due within one year:</b>		
Trade receivables	21	18
Other receivables*	200	192
Prepayments and accrued income	19	53
<b>Total</b>	<b>240</b>	<b>263</b>

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

## 10. Trade payables and other current liabilities

	2015-16 £'000	2014-15 £'000
<b>Amounts falling due within one year</b>		
Trade payables	11	-
Accruals and deferred income	539	545
<b>Total</b>	<b>550</b>	<b>545</b>

## 11. Provisions for liabilities and charges

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

## 12. Commitments under leases

### 12.1. Operating leases

Total future minimum lease payments under operating leases are given in the table below for each of the following periods.

	2015-16	2014-15
	£'000	£'000
<b>Obligations under operating leases comprise:</b>		
<b>Buildings:</b>		
Not later than one year	10	-
Later than one year and not later than five years	-	-
Later than five years	-	-
	<u>10</u>	<u>-</u>

HSENI entered into a lease agreement with Lancer Buildings Ltd on 10th November 2010, for the rental of offices in Omagh. This was a five year lease effective from 19th February 2010, with the possibility of extension for a further three years. The lease has been extended for a period of two years, until February 2017.

### 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 of Enterprise, Trade and Investment. The Department of Enterprise, Trade and Investment 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:

- Invest Northern Ireland;
- The Northern Ireland Tourist Board; and
- The General Consumer Council for Northern Ireland.

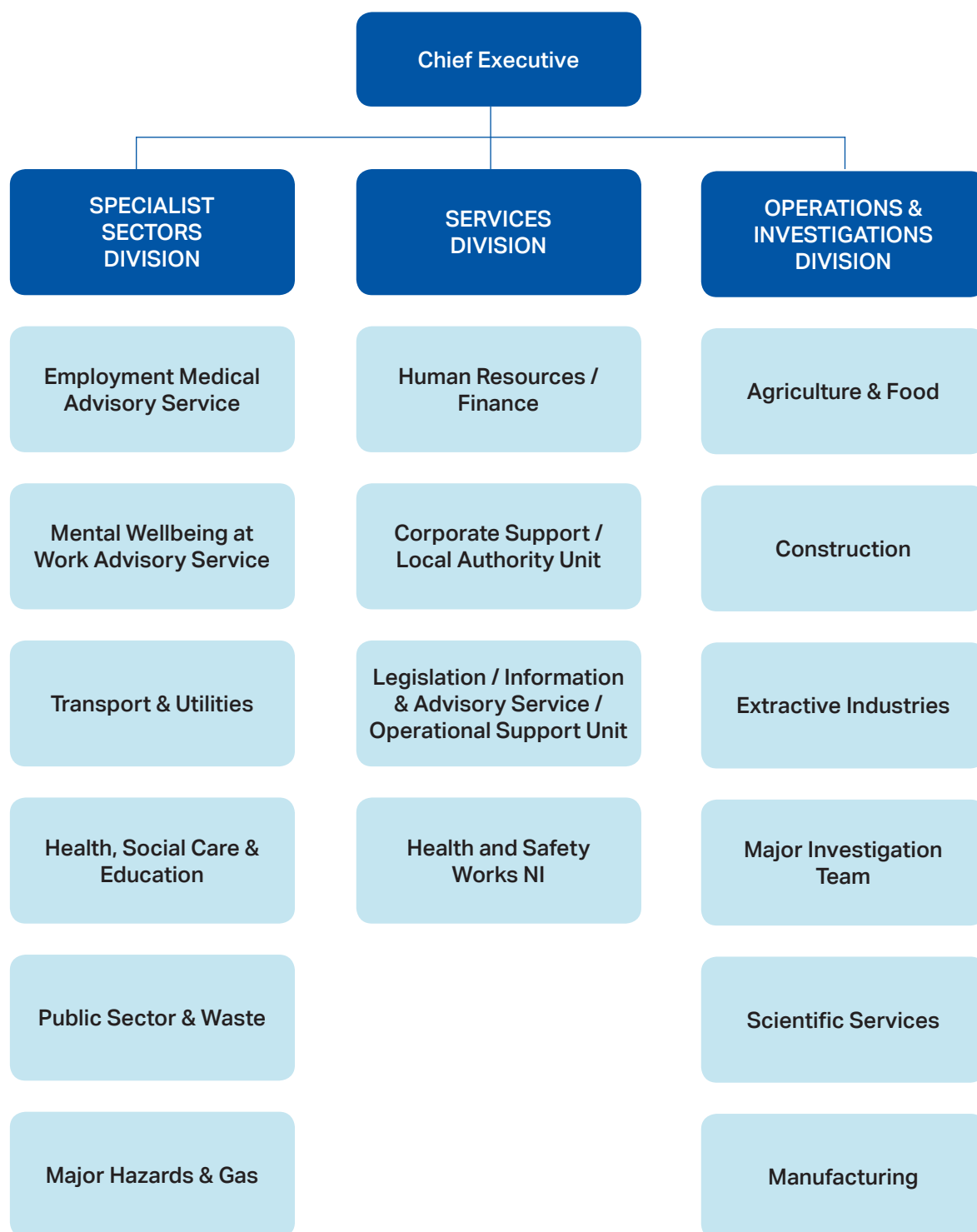
In addition, the Health and Safety Executive for Northern Ireland has had a small number of transactions with other government departments and other central government bodies. Most of these transactions have been with the Department of Finance and Personnel and the Public Prosecution Service for Northern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

### Date of authorisation for issue

The Accounting Officer authorised the issue of these financial statements on 21 June 2016.

# Appendix 1

## HSENI ORGANISATION STRUCTURE 2015-16



# Appendix 2

## FATAL ACCIDENTS 2015-2016 (Total = 12; HSENI enforcement responsibility only)

Occupation (Age)	Employment Category	Description	Date
<b>Agriculture</b>			
Farmer (61)	Self-employed	Died when the quad bike he was operating turned over on steep ground at his farm in Glenwherry.	10/06/15
Farmer (68)	Self-employed	Died following an attack by his Charolais bull in the field in Dungannon.	26/06/15
Farmer (79)	Self-employed	Died when struck by the front end loader fitted to a tractor in Downpatrick.	21/12/15
Farmer (68)	Self-employed	Died when struck by a telescopic handler which had been reversing out of a cattle shed in Omagh.	24/12/15
Farmer (67)	Self-employed	Died when he fell approximately 2m from the top of a manure drier in a poultry shed on his home farm near Dungannon.	17/02/16 Died 18/02/16
Farmer (56)	Self-employed	Died when struck by an unsupported forklift mast, which fell on top of him at his farm in Newry.	26/02/16
<b>Food manufacturing</b>			
N/A (4)	Member of Public	Died when crushed under a large metal tank in Lisburn.	13/08/15
<b>Construction</b>			
Builder (47)	Self-employed	Died when the stone saw he was using kicked back and struck him in the neck/throat in Enniskillen.	02/10/15
N/A (43)	Member of Public	Died as a result of hypothermia when he fell into the open excavation to the rear of a property and was found approximately 2 days later in Rathfriland.	28/03/16 Reported 31/03/16
<b>Health</b>			
N/A	Member of Public	Died when their wheelchair fell backwards in a hospital and they sustained a head injury. Antrim.	04/04/15 Died 23/04/15
<b>Other</b>			
Chimney Sweep (55)	Self-employed	Died when he fell off a two storey roof in Dungannon.	28/09/15
Mechanic (42)	Self-employed	Sustained serious injuries while working on a machine at a farm and later died in hospital in Omagh.	09/12/15

# Appendix 3: Prosecutions

## 2015-16

### **Nigel Bell**

Nigel Bell was fined £5,000 plus costs of £1,140 on 12 May 2015 at Downpatrick Crown Court today after pleading guilty to a breach of Article 4 of the Health and Safety at Work Order (NI) 1978. The case arose from an incident at Castle Park, Abbey Street, Bangor involving County Armagh fairground operator Nigel Bell on 24 April 2014.

The incident occurred during the dismantling and removal of a fairground ride during which a 27 year old employee was trapped after a trailer that was being pulled by nylon strapping rolled out of control. It came to rest when it hit a wall, crushing the worker who sustained a number of injuries to his body which required long-term medical treatment.

The investigation revealed that the method Nigel Bell was using to move the trailer was unsafe and there was no mechanism to stop it rolling too far. On this occasion his employee was crushed between the trailer and a wall.

### **EKS Tyres (NI) Limited**

EKS Tyres (NI) Limited was fined £6,000 plus costs of £960 on 20 August 2015 at Dungannon Crown Court for failing to protect employees from exposure to asbestos. The health and safety breaches were Article 4(1) of Health and Safety at Work (Northern Ireland) Order 1978; Article 5(1) of Health and Safety at Work (Northern Ireland) Order 1978 and Regulation 4(3) of The Control of Asbestos Regulations (NI) 2012.

The case arose from an HSENI investigation into an incident in November 2013 when EKS Tyres (NI) Limited installed a new fire alarm system at its premises on Moneymore Road, Cookstown. HSENI's investigation found that there was no asbestos management plan for the premises, and as a result information on the location, type and condition of asbestos containing materials (ACMs) was not available.

Employees of EKS Tyres (NI) Limited who were working in the area at the time of the installation work were likely to have been exposed to asbestos.

### **Metallix Ltd**

Metallix Ltd was fined £6,000 plus costs of £564 on 24 September 2015 at Antrim Crown Court for failing to protect employees from exposure to asbestos. The health and safety breaches were Article 4(1) of the Health and Safety at Work (Northern Ireland) Order 1978; Regulation 4(3) of the Control of Asbestos Regulations (Northern Ireland) 2012 and Article 5(1) of the Health and Safety at Work (Northern Ireland) Order 1978. The following charge was left on the books – breach of Regulation 11(1) of the Control of Asbestos Regulations (Northern Ireland) 2012.

The case arose from a HSENI investigation into how, over several days in April 2014, employees and sub-contractors at the company's premises at Pennybridge Industrial Estate, Ballymena were exposed to asbestos. Metallix Ltd manufactures metal components and sub-assemblies for the automotive industry and employs around 130 staff, with approximately 50 based at its Pennybridge site.



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On or around 8 April 2014, while preparing the site for the installation of two overhead cranes in a workshop, asbestos insulation board was removed in an uncontrolled manner by two Metallix Ltd employees. In addition, from around 8 April 2014 to 15 April 2014 the contaminated area continued to be accessed by employees and sub-contractors.

### **Hayes Fuels and Stanley Gibson**

Hayes Fuels, and independent safety consultant Stanley Gibson, were fined a total of £54,000, plus costs of £1,500 against Hayes Fuels on 15 October 2015 at Laganside Crown Court for health and safety breaches of Article 4(1) of the Health and Safety at Work (NI) Order 1978 and Regulations 10(4) of Work at Height Regulations (NI) 2005 which led to the death of 49 year old employee Robert Mark McCarroll. The case arose from an HSENI investigation into an incident at a Belfast premises operated by Hayes Fuels in March 2013.

Mr McCarroll was working in a warehouse where pre-packed fuel products stored on pallets were stacked on top of each other. The method of stacking used by Hayes Fuels resulted in some of the pallet stacks becoming unstable, and on the day of the incident the system of work involved Mr McCarroll working at the base of these pallets. Tragically, one of the pallet stacks fell over, resulting in the product falling on to Mr McCarroll who died two days later from his injuries.

Stanley Gibson, a health and safety consultant engaged to assist Hayes Fuels, had carried out a risk assessment of the area and had identified that there might be an issue with the storage system. However, he failed to complete the assessment and identify the control measures required to prevent material falling from height.

### **Quinn Building Products Limited**

Quinn Building Products Ltd was fined

£100,000, plus costs of just over £7,700 on 22 October 2015 at Omagh Crown Court after previously pleading guilty to two health and safety breaches that resulted in the death of an employee in 2012. The health and safety breaches were Article 4 of the Health and Safety at Work Order (NI) 1978 and Regulation 5 of the Provision and Use of Work Equipment Regulations (NI) 1999. The case arose following an investigation conducted by HSENI into a fatal accident which occurred in the company's precast factory at Gortmullan, Co. Fermanagh. On 13 September 2012, Brian Óg Maguire, a 24 year old employee, was tensioning a steel rope measuring approximately 125 metres in preparation for the manufacture of precast cement slabs.

During the tensioning, the steel rope came adrift at one end and travelled towards Mr Maguire who was positioned in the safety cage.

Tragically in this case the steel rope was forced behind Mr Maguire where it struck an object. The rope splayed and two of the individual strands struck Mr Maguire causing fatal injuries.

The HSENI investigation revealed that three wedge segments which grip the steel rope showed signs of wear and damage. In addition, the tapered barrel, in which the grips were positioned, was worn beyond the manufacturer's recommended limits. Ultimately this resulted in the rope gradually slipping through the grips during tensioning and being released with a force estimated to have been in the region of six tonnes.

The company did not have suitable arrangements in place to check the grips and barrels were suitable to use, nor did it have a proper system to manage the use and rotation of these safety critical items.

### **Regen Waste Ltd**

Regen Waste Ltd was fined £15,000 plus

costs of £664 on 18 November 2015 at Newry Crown Court for a health and safety breach of Article 4 of the Health and Safety at Work (Northern Ireland) Order 1978 after a 39 year old employee, Dariusz Jurczyk, sustained serious injuries resulting in amputation of his lower right leg.

The sentencing follows an HSENI investigation into how on 24 April 2014 Mr Jurczyk was struck by a reversing vehicle at the company's premises in Carnbane Industrial Estate, Newry. Regen Waste Ltd is a waste and recycling company, employing around 150 staff, which mainly processes household waste recyclables such as paper, cardboard, metal cans and plastics. The company operates a range of plant vehicles, including loading shovels, forklift trucks and skid-loaders throughout the site. On the day of the incident, Mr Jurczyk, along with other employees, was brushing up aluminium material from below and around a conveyor system into small piles for a skid-loader to remove. As Mr Jurczyk was brushing, the skid-loader operating in his area ran over his leg.

The HSENI investigation found the company had failed to ensure a safe system of work to prevent accidents. Proper consideration had not been given to how workers and vehicles could be kept apart, with the result that a person was run over resulting in horrific injuries. This lack of good all-round visibility on the skid-loader was also a significant factor.

#### **Digital Fire and Security (NI) Limited**

Digital Fire and Security (NI) Limited was fined £1,000 plus costs of £800 on 7 December 2015 at Dungannon Crown Court for failing to protect employees from exposure to asbestos. The health and safety breaches were Article 5(1) of Health and Safety at Work (Northern Ireland) Order 1978 and Regulation 5(a) of The Control of Asbestos Regulations (NI) 2012.

The case arose from an HSENI investigation into an incident in November 2013 when Digital

Fire and Security (NI) Limited were contracted to install a new fire alarm system at premises on Moneymore Road, Cookstown.

HSENI's investigation found that there was no asbestos management plan for the premises and that Digital Fire and Security (NI) Limited had failed to request a copy of such a plan prior to the commencement of their work.

Digital Fire and Security (NI) Limited commenced work on the alarm installation without knowledge of the location, type and condition of asbestos containing materials (ACMs) within the premises. While undertaking the work, two Digital Fire and Security (NI) Limited employees cut through an asbestos insulation board ceiling and as a result were exposed to asbestos.

#### **John Thompson**

Limavady farmer John Thompson was fined £2,500 on 17 December 2015 at Londonderry Crown Court for a health and safety breach of Article 4(1) of the Health and Safety at Work (NI) Order 1978 that resulted in a fatal accident on his farm in March of this year.

The case arose following an HSENI investigation into the accident where an employee fell approximately three metres while assisting Mr Thompson replace roof sheeting on a farm building. As a result of his fall on 26 March 2015, the 56 year old worker died from his injuries the following day.

#### **Dale Farm Limited**

Dale Farm Limited was fined a total of £30,000 plus costs of £2,500 on 12 January 2016 at Dungannon Crown following a guilty plea to Article 5(1) of the Health and Safety at Work (Northern Ireland) Order 1978 and Regulation 4(1) of the Control of Asbestos Regulations (Northern Ireland) 2012.

The case relates to an incident on 13 March 2013 where two ventilation engineers were

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exposed to asbestos fibres during extension work at Dunmanbridge Creamery, Cookstown. The two engineers had not been provided with information on the location of asbestos containing materials at the site prior to work commencing.

Dale Farm Limited had an asbestos management survey carried out 10 years prior to the incident.

However, an asbestos management plan had not been developed before the extension work began. Dale Farm Limited had also failed to update their asbestos register to take account of asbestos insulation board (AIB) that was discovered in 2007 in the area where the incident took place.

### **Watts Group PLC**

Watts Group PLC was fined £30,000, plus costs of £1,149 on 27 January 2016 at Antrim Crown Court for three breaches of Article 5(1) of the Health and Safety at Work (Northern Ireland) Order 1978 that resulted in two construction workers being exposed to asbestos.

Sentencing came after a HSENI investigation into how, in early 2013, Seamus Kelly, a joiner, and his colleague, Alan Tweed, were exposed to asbestos while replacing doors in the service ducts beneath Holywell Hospital, Antrim.

In addition to being the appointed project managers for the removal of asbestos containing materials from the underground service ducts, Watts Group PLC also organised and conducted an asbestos survey for these ducts.

The information contained in the survey was then used to develop illustrative site plans showing areas where asbestos was present and areas where it had been identified as having been removed.

Watts Group PLC provided these plans to a construction sub-contractor whose role was to remove and replace doors and to carry out other building work in the ducts.

HSENI's investigation found that the survey conducted by Watts Group PLC fell far below the required standards. In addition, asbestos was discovered in poor condition in numerous areas throughout the ducts, in areas where the Watts plans illustrated there was no asbestos.

### **Cherry Pipes Ltd**

Cherry Pipes Ltd, Dungannon was fined £24,000 plus costs of £854 on 29 January 2016 at Antrim Crown Court for health and safety breaches of Article 4(1) of the Health and Safety Work at Work Order (NI) 1978; Regulation 9(1) of The Provision and Use of Work Equipment Regulations (Northern Ireland) 1999; Regulation 9(2) of The Provision and Use of Work Equipment Regulations (Northern Ireland) 1999 and Regulation 10(1) of the Management of Health and Safety at Work Regulations (Northern Ireland) 2000 that led to the death of a worker in August 2014.

Sentencing came after an HSENI investigation into the fatal incident at the company's premises in Nutts Corner Business Park, Crumlin, County Antrim where a 49 year old employee was fatally injured when a forklift truck he was driving overturned, trapping him between the vehicle's safety frame and the ground.

The investigation found that the deceased was employed as a general operative, not a forklift truck operator and as a result had not been trained on the operation of the lift trucks by the company.

### **Richard Green**

Rathlin Island farmer, Richard Green, was fined £1,000 plus costs of £300 on 12 February

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2016 at Coleraine Magistrates Court for health and safety breaches of Article 4(1) and Article 4(2) (a) of the Health and Safety at Work (NI) Order 1978 and Regulation 6(3) of the Work at Height Regulations (NI) 2005 that resulted in multiple injuries to his employee, Mr Russell John Beresford.

Sentencing came after an HSENI investigation into how on 4 December 2014 Mr Beresford fell approximately four metres from a farm shed roof while replacing tin sheeting. As a result, Mr Beresford suffered fractured ribs and a fracture to his right elbow which required surgery.

### **Raptic Limited**

Raptic Limited was fined £2,400 plus costs of £1,780.14 on 24 February 2016 at Laganside Crown Court for two health and safety breaches of Regulation 13 (2) of the Construction (Design and Management) Regulations (NI) 2007 and Article 5 (1) of the Health and Safety at Work (Northern Ireland) Order 1978.

Sentencing came after an HSENI investigation into an incident on 5 September 2014 in which a construction worker fell from height. The fall occurred while the worker, who sustained several serious injuries including nine broken ribs and a fractured left hand, was fitting panels during the construction of temporary decking at Galgorm Resort and Spa.

### **David Murphy**

Dairy farmer David Murphy was fined £1,000 on 18 March 2016 at Armagh Magistrates Court for a health and safety breach of Article 4 of the Health and Safety at Work Order (NI) 1978 that led to the serious injury of a teenage worker.

Sentencing comes as a result of an HSENI investigation into the incident in June 2015 on Mr Murphy's land in Killylea, County Armagh. While erecting a fence, the young worker's left leg was impaled by one of the prongs of a silage buckrake which fell from the front of a telescopic materials handler.

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