LEADERSHIP & WORKFORCE ENGAGEMENT

Workers Involvement & Engagement - Self Audit Tool

Why

It is recognised that there are key elements that promote the effectiveness of Workers/People's Involvement and Engagement and all the elements combined leads to strong safety compliance and a more productive workplace.

Overview

This guidance has been produced by a working group of the Quarries National Joint Advisory Committee (QNJAC) which comprises of industry experts from varied backgrounds, The Institute of Quarrying (IQ), Unite the union* and the Health and Safety Executive (HSE).

The purpose of this document is to provide a structured framework for organisations to conduct self-audits on site workers involvement and engagement, its effectiveness, application of good practice and its legal compliance to Quarry Regulations 1999 and other relevant legislation.

* Unite is a trade union, it is dedicated to serving the best interests of its members, protecting workers rights and equality and diversity in the workplace by negotiating with employers and government.

Scope

The HSE published a collective declaration on worker involvement in 2004. This declaration included recognition of the positive impact of 'safety representatives 'who through their empowered role in consultation show the strongest relationship with safety compliance. QNJAC, in October 2005 adopted a statement in principle on engaging the workforce and produced various guidance and training material. This guidance and training which is published on the QNJAC website and safequarry.com has the same relevance today and has been reinforced with additional resources from Trade Associations and Professional Membership bodies.

Since the original QNJAC statement in 2005 the Mineral Products Sector has undergone numerous changes enforced by the December 2007 to June 2009 economic downturn, promotion of lean manufacturing to increase productivity, implementation of a suite of safety and environmental ISO standards, digital transform, and a better understanding of the importance of change management. The result of this is that the impact of 'Worker /People's Involvement and Engagement' has even more relevance to improving safety and operational performance.

It is recognised that there are key elements that promote the effectiveness of Workers/People's Involvement and Engagement and all the elements combined leads to strong safety compliance and a more productive workplace. These key elements are outlined below.

- Respective Senior Managers, line managers and statutory appointed representatives understand their respective roles in relationship to workers/people's involvement and engagement
- Compliance to relevant legislation
- Worker/People's involvement and engagement in the key stages of planning, task preparation, task execution, learns and reviews.
- Training and competence of individuals
- Audit and review
- Sharing of good practice
- Celebration of success

This guidance provides a useful set of questions to ask to check the integrity of all the above elements to promote effective and productive worker involvement and engagement.

Carrying out the audit

It is recommended that the site management team carry out this audit in collaboration with select members of the safety committee team (see section 2), this should be an honest and open approach

to understanding how everyone is involved in the operation of the site. Collaboration provides the opportunity to record any differences between perception and the reality.

Plan the time for everyone involved to commit to this audit process without distraction. At large sites it is likely that the audit will have to be conducted over a period of time and ensure that people on other shift patterns have the opportunity to participate. The audit does not have to be done in one go, so be realistic. The size of this site is likely to be a significant factor in terms of the amount of planning required.

People are critical to the audit:

- Consider who will participate in the audit.
- Take time to brief them and train them if necessary.
- Check their understanding of the process and why the audit is to be carried out.
- Ensure you deal with any concerns that workers may have over this audit process.
- Ensure they all given the time and space in order to carry out this audit.
- Ensure the process is communicated to everyone on the site, to allow the individuals to carry out this process uninterrupted and without distraction.

Remember contractors, shift workers and hauliers should all be included in the audit process so they can all contribute with their experience, knowledge and understanding.

Useful References

HSE guidance titled 'Involving your workforce in health and safety; Good practice for all workplaces 'HSG263 provides a good introduction into the good practices available. The appropriate legislation outline below is essential to understand and implement.

- Consulting your workforce on health and safety: Safety Representatives and Safety Committees Regulations 1977 (as amended)
- Health and Safety (Consultation with Employees) Regulations 1996 (as amended) Approved Code of Practice and guidance L146
- The Quarry Regulations 1999. Participation of persons at Work, Regulation 40

QNJAC guidance can be found on the QNJAC website qnjac.com and safequarry.com under the heading QNJAC Guidance – Leadership and Workforce engagement.

Areas covered are outlined below.

- Leadership Self-Assessment
- Quarry Regulation 40 – Checklist, Report form, recruitment poster, toolbox talk, training course syllabus
- Leading indicators of Occupational Safety and Health

Institute of Quarrying (IQ) have produced a number of factsheets that could assist you, for example:

- Understanding Quarries Regulation 40 – Workforce Engagement

- Employee engagement
- How teams work
- Effective safety committees
- Chairing meetings
- Leadership behaviors and safety performance
- Understanding CPD
- Understanding your personal qualities
- Report writing
- Managing conflict
- Problem solving

All are available via quarrying.org or through your IQ Connect app.

The Mineral Products Association (MPA) have produced high quality resources to support workers involvement and engagement through its Safe and Well everyday campaign. An employee guide to Vision Zero, Clear, Simple, Smart can be found on safequarry.com.

Self Audit

Site / Organisation	
Audited By	
Date of Audit	
Date of review	

1. MANAGEMENT ROLES AND RESPONSIBILITIES RELATING TO WORKERS INVOLVEMENT

Question	Yes	No	Actions
Check, do senior managers and Reg 8(1)c, Reg 8(1)d or e understand their respective roles in relationship to workers* involvement and engagement. *Workers includes everyone working on the site, employees, and contractors.			
Do all management and supervisory role profiles include worker involvement and engagement?			
Are all workers aware of their role profiles, have they read their profile?			
Is the level of supervision sufficient to ensure that workers involvement and engagement promotes safe working, and is maintained?			
Are managers and supervisors aware of their responsibilities in terms of workers involvement and engagement to maintain a safe workplace and environment?			
Do managers and supervisors demonstrate visual felt leadership, follow best practice, and set a good example, for instance take time to listen to the concerns of workers and report those concerns promptly?			
Have the management evaluated themselves against the QNJAC Guidance Health and Safety Self-Assessment tool?			

	Yes	No	Actions
Has the site management evaluated themselves against the Institute of Quarrying (IQ) Personal Development Wheel?			
Do workers record CPD with IQ or another relevant professional membership body?			

2. IS THE SITE COMPLIANT WITH THE QUARRIES REGULATIONS 1999 REGULATION 40?

Question	Yes	No	Actions
Are you reviewing and updating the sites health and safety documents?			
Do you involve workers and other relevant stakeholders in the following? • risk assessments • site rules • systems of work (SOP) • method statements			
Do you consult your workforce to understand their views on the rules, safe systems, and different work areas?			
Do you have a Health and Safety Committee or an equivalent arrangement in place? (Refer to regulation 40)			
If you do not use a Health and Safety Committee, what arrangement do you have in place that allows you to fulfil the role of a committee?			
Are the people on the committee/arrangement competent to carry out the duties asked of them?			
Does everyone know the purpose and aims of the committee/arrangement?			
If you have trade unions on site, are they represented on the committee/arrangement?			
Are meetings carried out following a consistent and formal structure?			
Do they have the following? • Agenda's • Minutes • Attendee lists			

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Is the committee or arrangement effective in identifying issues and recommending improvements?			
Is the committee or arrangement properly supported with the following? • Resources • Time • Comfortable space • Refreshments • Note paper • White board or flipchart for group work			
Are suggestions heard fully, considered, and actioned?			
Are Health issues covered, as well as safety issues?			
Are members of the workforce given sufficient time to review health and safety arrangements?			
How would you rate the effectiveness of your safety committee or arrangement? 1=Very poor and 10=Very effective			
What steps could you take to improve your score?			
Do members of the Health and Safety committee or arrangement carry out safety inspections?			
Have safety inspections taken place and cover all areas of the site?			
Are the results from inspection reports made available to everyone on site?			
Have site health and safety documents including risk assessments been reviewed by the committee / workers representatives?			

Is there the opportunity to utilise a specialist if needed?			
If improvements or recommendations are suggested, are they tracked through each stage and communicated? For example: • Proposed • Evaluating • Rejected and why • Postponed • Accepted • In progress			
Are workers encouraged to participate in the committee or arrangement?			

3. WORKERS INVOLVEMENT AND ENGAGEMENT

Question	Yes	No	Actions
Are workers and other stakeholders such as contractors and HGV drivers involved and engaged in the following site operations? • Face development /extensions • Capital Projects/Plant selection • Major outage planning and execution • Welfare facilities specification / maintenance /cleaning schedules • IT Systems /developments • Product development • Major contract logistics planning			
Are workers involved in the planning of face operations, processing, out sales and weighbridge operations on a day-to-day basis?			
Are the plans reviewed against the actual outputs of the plans and the learnings reviewed?			
Are specific maintenance /changes to process/routines discussed with workers/contractors/hauliers in the planning stages? Are any changes communicated before the task is started?			

Are workers involved in associated risk assessments and their communication across the site?			
Are workers and management trained and competent to review and complete risk assessments?			
Are they available, up to date and reviewed regularly by authorised representatives?			
Are any on the job changes recorded and communicated to management and fellow workers?			
Are workers involved in site specific inductions?			
Are they trained and recognise the responsibilities involved?			
Is the quality and relevance of site inductions reviewed regularly and discussed with workers?			
Are there formal/informal task reviews?			
Are there records of task reviews and do they comment on what went well, what didn't go so well and what changes are needed to be incorporated into future tasks? (Win, Learn, Change reviews)			
Are there any deadlines set for any tasks / methods involved?			
Are workers trained to carry out formal Root Cause Analysis or 5 Why reviews			
Are Senior /Site Management involved in task reviews and promote open discussion and take ownership of actions and provide the resources required for completion? Are these reviews communicated across the site?			

Question	Yes	No	Actions
Are site communications effective and what evidence do have you got to reinforce that? • Do they reach everybody in a timely manner and at a level that can be understood? • Are they personalised and presented by toolbox tools were possible and applicable? • Are they Prioritised on Importance e.g., High potential near hits*, safety alerts? • Are noticeboards refreshed regularly and in appropriate locations? *A near hit is an incident that indicates that a problem exists, and unless some positive action is implemented to correct that problem then it may escalate into something more serious.			
Has the site conducted an employee survey on any topic in the last 3 years? If Yes, was it safety specific or cultural? Have contractors and hauliers been involved in such surveys?			
Does the site have a regular employee newsletter (online or hard copy)? Is it company or site specific, and do site employees participate or contribute with information and/or articles?			
Do the site workers/employees have access to company or Mineral Products Sector social media?			
Does your site/employer have a social media policy in place? If yes, are all employees aware of this policy?			
Are workers encouraged to promote positive stories or content on social media?			

4. TRAINING AND COMPETENCE OF INDIVIDUALS

Question	Yes	No	Actions
Do workers have sufficient training to complete tasks to promote workers involvement and engagement.			

Does the site management have appropriate training to promote worker involvement and engagement? For example: • Mindset and Behaviour training • Continual Improvement training • Performance reviews and goal setting • Presentation / Toolbox talk skills • IQ Skills Wheel identified CPD			
Are Involvement and engagement objectives embedded into site management performance reviews?			
Do all site workers have formal performance and objective setting reviews?			
Are workers given the opportunity to contribute to their KPI or performance objectives when they are created?			

5. AUDIT AND REVIEW			
Question	**Yes**	**No**	**Actions**
How is the level and effectiveness of workers involvement and engagement measured, maintained, and sustained on the site			
Are site performance reviews held daily or at least weekly to promote safety performance and coordinate maintenance and site operations?			
Do these reviews include of the workforce?			
Are workforce representatives rotated?			
Are actions from these meetings recorded on visual management tools such as T Cards, Safety Cross, or Action boards			
Can actions be easily tracked, available and visible to all workers and regular contractors? Are completed actions logged to show continuous improvement?			

	Yes	No	Actions
Do Senior, Site Management regularly attend daily or weekly meetings and review the timely close out of actions?			
Are there KPI's measured on site to capture workers involvement and engagement for example: • Training courses attended and completed • Competence compliance • Sickness /Absentee/Disciplinaries held • Occupational health reviews • CPD registered to Professional Membership bodies e.g. IQ and verified • Workplace inspections completed			

6. SHARING GOOD PRACTICE

Question	Yes	No	Actions
Do workers from site attend other sites to share good practice?			
Do site personnel attend industry body, professional Institute CPD and branch events, or trade shows to identify good practice? For example: • Institute of Quarrying (IQ) • Institute of Concrete Technology (ICT) • Institute of Asphalt Technology (IAT) • British Aggregate Association (BAA) • Mineral Products Association (MPA) • Concrete society • Hillhead			
Do you believe the site workers are open to new ideas, innovations, or new ways of working?			
Is there a site suggestion scheme that promotes continual improvement?			
Is there a formal review process of improvement ideas and is this reported in a timely manner back to the workers?			

Is there a budget attached to continual improvement projects and are they fast tracked?			

Question	Yes	No	Actions
Does the site have an informal system of recognising an individual or teams outstanding efforts or performance? For example: • Fish and chip days • Bacon cobs treats • Regular site management verbal 'thank you' • Visual felt appreciation of high performance			
Does the site have a formal system of recognising an individual or team for outstanding performance? For example: • Value award certificates • Additional holidays • Shopping vouchers			
Is implementing success celebrated on site? For example • Implementing good practice • Successful maintenance tasks • Root Cause analysis teamwork • Record outputs, busy days on weighbridge, and Order office • Safety performance milestones • Individual out of work achievements e.g. Fund raising for charity • Long service • New starters. thank you to leavers Are there means to communication this success? • Site newsletter • Site WEB site • Twitter, LinkedIn, Facebook • Management thank you letter • Company newsletter / website • Agg-net • MPA, BAA award schemes			

ALL 'NO' RESPONSES SHOULD BE ASSIGNED AN IMPROVEMENT ACTION. WHERE THIS IS NOT FELT POSSIBLE, THE ISSUE SHOULD BE ESCALATED TO THE SENIOR MANAGEMENT TEAM AND H&S OR HR SPECIALIST FOR FURTHER REVIEW.

* 'Limited endorsement as HSE has contributed to the overall product, rather than leading its development.'