



Health and Safety Management
Systems Interfacing

Guidance

STEP CHANGE IN SAFETY



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introduction

Background to the Guidance

This Guidance has been developed and issued to replace "UKOOA Guidelines on Safety Management System Interfacing" - October 1993 (Issue 3).

The Cross Industry Working Party, which was responsible for the preparation of this Guidance, consisted of representatives from both operating and contracting companies. Their efforts were supported by the periodic involvement of the Offshore Safety Division of the Health and Safety Executive, thereby reflecting a pan-industry approach to the Guidance.

This Guidance is based upon the key elements of the model Health and Safety Management System described in the U.K Health and Safety Executive's booklet HS (G) 65, "Successful Health and Safety Management." For those organisations which have developed and implemented systems in accordance with E & P Forum's "Guidelines for the Development of Health, Safety and Environmental Management Systems", the Guidance also holds valid, despite the elements in the E&P Forum's model being expressed in a different way.

During the preparation of this Guidance, the members of the Cross Industry Working Party became aware that whilst the remit was only to address Occupational Health and Safety Management Systems (SMS) Interfacing, many of us now also face the task of interfacing Environmental Management Systems (EMS) as a function of certain shared activities. Therefore, it is our considered view that whilst EMS interfacing has not been addressed explicitly in this Guidance, the process and the format could reasonably be utilised for that purpose with a modicum of additional effort.

The Need for SMS Interfacing Arrangements

The purpose of establishing SMS Interfacing Arrangements is to ensure that standards of safety achieved by any one party through the application of its SMS are not compromised by another or others, whilst undertaking shared activities. Thus, the focus is on achieving high standards of health and safety performance and not solely legal compliance. The process of establishing SMS Interfacing Arrangements should be seen as a management planning activity.

The documented arrangements themselves should be utilised to govern the implementation of the shared activities, whilst their effectiveness should be judged by how their application in practice results in no compromise of existing safety standards and, where practicable, demonstrates improvement. (This may only be possible where arrangements are in effect for a reasonable duration.)

While this Guidance has been entitled, "Health and Safety Management Systems Interfacing", this should be taken to mean both interfacing and integration. The difference between the two terms is essentially a matter of degree in that where complex arrangements are developed to address situations of significant risk, then the degree of interfacing will tend to lead to more integrated solutions; in circumstances of less significant risk, the SMS Interfacing Arrangements may lead to a less integrated approach.

However, it was the considered view of the Cross Industry Working Party that, where it could be substantiated by the degree of risk involved in the shared activities, it would always be the preferred course of action to integrate management system arrangements. Thus, where 'SMS Interfacing' is stated in the text, this may be taken to mean 'SMS Interfacing/Integration'.

Applying the Guidance

This Guidance applies to the circumstances where two or more parties are involved in shared activities and where these shared activities give rise to risk to one or more of the parties involved. In the majority of instances where this will apply, a contractual relationship will exist between the parties; however, this is not necessarily so in every case. Thus, the Guidance will equally apply to those circumstances in which shared activities give rise to risk but where there is no contractual relationship between the parties.

The Guidance sets out what is considered to be best practice in the industry in terms of the process of establishing SMS Interfacing Arrangements to address the foregoing circumstances.

The extent to which both the Guidance needs to be applied and the arrangements need to be developed, is a function of the risk associated with the shared activities. Thus, prior to embarking upon the process of developing SMS Interfacing Arrangements, a risk assessment must be made by the parties involved. This may be as simple as making a judgement as to where in the table below each party feels that their risk is best described.

The table considers the combination of the two variables, hazard and duration, as a function of the degree to which they are likely to be experienced during the execution of the shared activities.

High hazard and long duration of shared activities is considered to require a greater extent of SMS Interfacing Arrangements than low hazard and short duration. More sophisticated models may be developed by parties at risk, if it is felt to be more helpful.

The intention is that in following the Guidance, the focus is only on those issues applicable to the specific shared activity. Thus, the documented agreement that is subsequently prepared and issued will constitute an appropriate level of integration, where all parties assume effective control of the risks, resulting from the implementation of the shared activities.

The Guidance is not mandatory and parties involved in shared activities may adopt a different method in a particular situation; where to do so would maintain an equivalent level of safety, as would otherwise have been achieved through the application of this Guidance.

low hazard short duration	low hazard medium duration	low hazard long duration
medium hazard short duration	medium hazard medium duration	medium hazard long duration
high hazard short duration	high hazard medium duration	high hazard long duration

Risk Assessment Table

Guiding Principles

The ultimate objective of SMS Interfacing Arrangements is to achieve effective health and safety management, resulting in high standards of performance, not solely legal compliance.

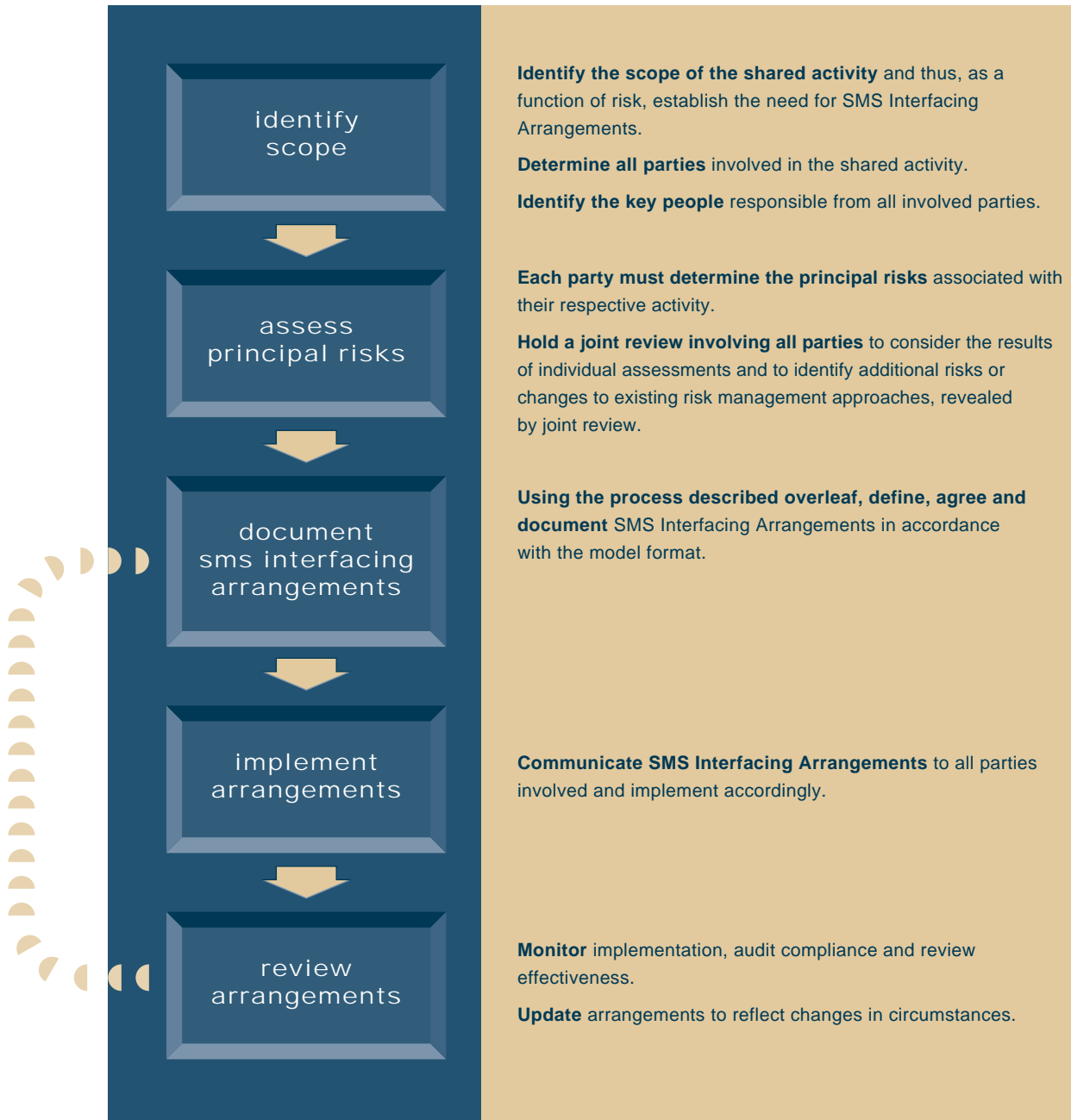
To achieve this objective successfully, the following guiding principles must be applied:

- Each party involved in the shared activity is deemed to be in control of its own SMS and shall be accountable for the management of the risks arising from its own activities.
- Where any one party's employees, assets or reputation may be at risk from the others' activities, the respective responsibilities and arrangements for the management of the risks shall be agreed and documented.
- SMS Interfacing Arrangements are deemed to be arrived at through consultation and agreement with all parties involved; they shall take account of the respective parties' statutory responsibilities and shall be endorsed by all parties. The imposition of one party's SMS upon the other(s) shall not be deemed to provide adequate control.
- SMS Interfacing Arrangements shall address all aspects of the shared activities and shall be communicated by those responsible to all personnel engaged in, or affected by, the shared activities.
- SMS Interfacing Arrangements shall be subject to a process of confirmation of effectiveness and to periodic review and update in order to ensure continuing suitability; these activities shall be conducted in a manner agreed by the parties involved.
- The final documented interface agreement shall be a live document, which serves as a working reference of the controls to be implemented during the execution of the shared activities.

Outline Processes

Main Process for SMS Interfacing Arrangements

The following flow chart illustrates the basic, generic process for establishing appropriate SMS Interfacing Arrangements.



Establishing SMS Interfacing Arrangements

Sub-Process for Defining, Agreeing and Documenting

It is important to define, agree and document the methodology, standards and responsibilities for each respective interface activity or issue.

This should achieve the following for each of the issues identified:

- A reference confirming agreement on the issue.
- A record indicating which party(s) will take responsibility for the issue.
- A reference to the responsible party(s) systems, policies, procedures, codes of practice etc, which are agreed, will apply to manage the health and safety risks at the interface. (Such references should be specific and detailed, eg when referring to a SMS document, state whose document, the document title and reference number.)
- A note of any particular comments about the issue, eg the extent of application of a particular procedure.

The flow chart shown opposite provides a simple framework for this process, but reference should be made to the model format for SMS Interfacing Arrangements for more comprehensive guidance.

This Guidance does not address the style and structure of the means by which SMS Interfacing Arrangements are documented, nor does it present a common template. The purpose of the Guidance is merely to help ensure all issues are adequately considered, evaluated and documented.



Defining, Agreeing and Documenting SMS Interfacing Arrangements

A Model Format for SMS Interfacing Arrangement

This model format is intended to guide the interfacing process. It covers typical matters to be addressed between the parties during interfacing and is derived from the key elements of the model SMS described in the Health and Safety Executive's Booklet HS (G) 65 "Successful Health and Safety Management".

In support of the model format, a matrix of typical interface issues is provided in Appendix 1. The matrix is designed to be used as a working tool to assist in the identification of interface issues, whilst applying the model format.

Communicating the agreed SMS Interfacing Arrangements is vital to their successful implementation. To assist in recording such briefings, Appendix 2 contains a suggested pro forma for that purpose.

Before commencement of execution of the shared activities, a check should be made by the parties involved to confirm that all agreed SMS Interfacing Arrangements are documented and in place. To assist in this process, a typical checklist is attached as Appendix 3.

Copies of the documents, contained in Appendices 1 to 3, may be downloaded, for working purposes, from the STEP CHANGE website. (See inside rear cover for details.)

1.0 Set interfacing policy/objectives

Purpose

To define health and safety objectives for the shared activity and to demonstrate leadership and a shared commitment to the achievement of high standards of health and safety performance.

1.1 Policy objectives and corporate acceptance of responsibility

Define and agree:

- Health and safety policy objectives for the shared activity.
- A fully endorsed joint statement of health and safety commitment for the shared activity, where appropriate.

Considerations

For shared activities likely to extend beyond a period of say one year, the respective parties' senior management may agree to define shared health and safety policy objectives and endorse a joint statement of health and safety commitment.

For shorter-term shared activities, the respective parties may agree to adopt the host party's health and safety objectives and contribute to their ongoing improvement plans or initiatives.

Whatever is agreed between the parties, it should be consistent with their respective existing corporate health and safety policies. It should not be necessary to re-examine these.

2.0 Organise

Purpose

To define the formal structure for organisation, allocating resources, specifying communications and responsibilities between the parties to achieve effective management of health and safety risks throughout the total life cycle of the shared activity.

To describe the process and arrangements for consulting, involving, and communicating with the workforce on health and safety.

2.1 Structure and accountability (inc. professional health and safety advice)

Based on the management structure of key accountable/responsible persons for each of the parties, define and agree:

- An integrated organigram for managing the shared activity, showing the key accountable and responsible persons and lines of communication.
- The principal accountabilities and responsibilities, including those for health and safety, for all persons on the integrated organigram.

- How the agreed SMS Interfacing Arrangements are to be communicated to ensure that the relevant information is provided and understood by all relevant personnel, including all persons on the integrated organigram.
- Any additional resources required for interfacing, not already covered in the respective parties' SMS's, and the working time arrangements to be applied.
- Routine communication arrangements to cover relevant areas of work execution.

Considerations

A nominated manager from each party should identify his party's management structure, including the source of health and safety supervision and advice, that will provide the basis for the integrated organigram.

With reference to their respective SMS's, the parties should prepare and agree responsibility statements for all positions in the integrated organigram. These statements should identify the individual's key health and safety accountabilities and responsibilities, and scope of authority as well as the specific communication arrangements between the parties. The main accountabilities and responsibilities for specific SMS Interfacing matters agreed between the parties should also be included.

The completed integrated organigram should be tested with all personnel on it to ensure that potential conflicts, gaps and overlaps in accountabilities and responsibilities which may prejudice health and safety are identified and resolved.

The persons on the integrated organigram should be asked to confirm that they have understood and accepted their accountabilities and the arrangements defined in the SMS Interfacing Arrangements, and, if not, to indicate which issues need clarifying.

An example briefing record sheet for this purpose is provided in Appendix 2.

The parties should agree how the SMS Interfacing Arrangements are to be cascaded to the workforce, eg via Tool Box Talks.

The final organigram and any accompanying accountability and responsibility statements may be endorsed by each party to signify their agreement.

Based on the nature and the scope of the shared activity, the health and safety risks involved, and the availability of manpower and hardware resources, the parties should determine if the existing resources are adequate, and if not, decide what additional resources will be needed.

2.2 Involvement of the workforce

Define and agree:

the arrangements for consulting, involving, and communicating with the workforce on health and safety, including the right to refuse to undertake unsafe activities, where appropriate, referring to existing arrangements for employee representation.

Considerations

Agree arrangements for consulting with the workforce on health and safety matters. Including as appropriate the nomination or election of Employee Safety Representatives and Statutory Safety Committee arrangements.

Agree on the level of participation of Employee Safety Representatives in the various health and safety arrangements agreed between the parties, eg SMS Interfacing Arrangements, performance monitoring, audits, reviews, and incident investigations.

3.0 Plan and set standards

Purpose

To describe how hazards and effects are to be identified, assessed, and controlled, and how recovery in the event of loss of control will be carried out.

To describe how the controls for hazards and effects management are to be implemented, and to develop a comprehensive list of health and safety standards and procedures relevant to the shared activity.

To describe change management proposals, emergency response procedures, occupational health arrangements, and plans for qualifying, selecting and interfacing with third parties on health and safety.

To set minimum competence levels and training requirements in health and safety expected for the shared activity for all personnel involved.

3.1 Hazard analysis and controlling risks

Based on a joint review of the scope of the shared activity and the respective parties' SMS's and legal duties, define and agree:

- The process and methods for determining how the health and safety hazards and effects that may arise from the shared activity are to be systematically identified and assessed.
- What and whose systems, policies, standards, procedures, or other controls will be employed to manage the risks.

Considerations

The parties should agree on the process of hazard identification and assessment, this should include the methodologies to be employed and identify the appropriate responsible parties. The scope of the hazard identification and assessment should cover all aspects of the shared activity throughout its total life cycle, including the plant, equipment and materials to be used.

The parties should identify relevant statutory health and safety provisions and draw up a list to indicate which aspects of their respective SMS's, they propose to apply to the shared activity, eg policies, standards, procedures, codes of practice, method statements, etc.

A joint review of the content of these documents should be carried out to confirm, or otherwise, that the arrangements and controls in them meet legal requirements, are adequate to manage the health and safety risks, and do not present any conflicts which may prejudice health and safety.

Any unique, significant health and safety hazards and effects that may arise from the shared activity, or from the plant, equipment and materials to be used, not already described in the respective parties existing risk assessments, should be assessed and appropriate procedures, method statements or other controls developed to manage such risks.

The respective parties should confirm that all significant health and safety risks arising from the shared activity have been assessed and documented and that appropriate controls and recovery measures to manage the risks are in place, or will be developed at the appropriate time.

The parties should agree how the results of risk assessments will be communicated to appropriate personnel.

3.2 Competency and training

With reference to the parties' respective SMS's, and legal duties, define and agree:

- Any additional task and site specific training, competencies and the method of assurance.

Considerations

Discuss, agree and specify the arrangements for selecting, placing and assessing personnel to achieve the necessary competencies.

Typical matters for consideration include:

- *the minimum training requirements and competencies necessary for work: including training standards/frequency and competence assessment.*
- *the parties' respective responsibilities for the training/competence assessment of personnel.*

Specific arrangements may include where appropriate:

- *Competence assurance procedures*
- *Onshore Induction*
- *Offshore Induction - Health and Safety*
- *Offshore Induction - Job*
- *PTW System Formal Training*
- *Job and Task Training*
- *Training for handling hazardous substances - eg those covered by COSHH*
- *Occupational health and hygiene training*
- *Emergency Response Training*

Consider specific arrangements for itinerant workers and transient crews.

3.3 Control of change

Define and agree:

- A method of developing, agreeing and keeping under review the programme for the execution of the shared activity.
- Responsibilities and arrangements for managing changes to the shared activity, key personnel, management structures, work programmes, plans, standards, practices, SMS Interfacing Arrangements etc, which may impact health and safety (especially those which could impact on the Safety Case where applicable) and show how the changes and risks arising from these will be managed.

Considerations

The arrangements should identify:

- *The information to be communicated in the event of changes and the method for communicating it, and*
- *The arrangements for authorisation and/or approval.*

Specifically, agree mechanisms for:

- *Changing the work programme, including issues such as:*
 - *Change authorisations*
 - *changes to objectives and timetables*
- *Type of change - eg engineering modifications and changes of personnel, operating procedures, method statements, work instructions, equipment and materials,*
- *Scale of change - minor or major,*
- *Responsibility for hazard identification and risk assessment associated with changes*
- *Changing the SMS Interfacing Arrangements.*

3.4 Selection and control of third parties

Define and agree:

- Arrangements for qualifying and selecting third parties to the shared activity in terms of their health and safety management capability and performance.
- Arrangements for interfacing with the SMS's of third parties.

Considerations

Cross-referencing to supporting documentation, each of the parties should verify that:

- *Third parties to be engaged by them are suitably qualified for the work in terms of their health and safety management capability and performance, and*
- *Appropriate SMS Interfacing Arrangement have been/will be conducted with third parties.*

3.5 Control in emergencies

With reference to the respective parties' SMS's and legal duties, define and agree:

- The respective responsibilities for emergency response, including evacuation and rescue, and onshore/offshore emergency control and recovery.
- The information to be communicated between all parties in the event of an emergency.
- A schedule of emergency exercises and drills.

Considerations

Review the emergency response plans and procedures of the parties and ensure that they are compatible. Specify respective responsibilities and arrangements for matters including evacuation and rescue, and onshore/offshore emergency control.

In particular, include details of:

- *The information that will be communicated between the parties and to third parties in the event of an emergency - this should include communications with the emergency services, the families of those involved, and the media,*
- *Responsibilities for co-ordination of emergency response, including all key positions in emergency response teams,*
- *Arrangements for notifying names/positions of emergency personnel to each of the parties engaged in the shared activity.*

3.6 Occupational health

Define and agree:

- Occupational health arrangements not covered in 3.1, eg health and fitness standards, pre-employment health screening, medical facilities, health monitoring records etc.

Considerations

Occupational health arrangements should be compatible between the parties involved. Specific aspects to be discussed and agreed include:

- *Health and fitness requirements specific to the shared activity including:*
 - *Pre-employment health screening*
 - *Drug and alcohol abuse policy*
 - *Smoking, hygiene and welfare*
- *Whether specific joint health screening and monitoring arrangements are required.*

4.0 Measure performance

Purpose

To define how health and safety performance is to be monitored, the criteria for health and safety performance, how improvement or corrective actions are to be taken, and how lessons are to be communicated to all involved parties.

4.1 Active monitoring

Define and agree:

- Key leading and lagging health and safety performance indicators and targets for the shared activity.
- The arrangements for jointly monitoring and communicating health and safety performance, including reporting procedures, implementation of improvement actions and shared learning.
- Methods of encouraging the involvement of all parties in monitoring and improving health and safety performance.

Considerations

For longer-term shared activities, agree key health and safety performance indicators and measurable and achievable annual targets. For example:

- *Lost Time Injury Frequency*
- *Total days lost due to injury*
- *Occupational Illness Frequency*
- *Total days lost due to occupational illness*

The parties should specify the form, content and frequency of joint health and safety performance reports, which should provide the basis for reviews of performance by management.

In addition to periodic reviews of performance against targets, the parties should define and agree an appropriate health and safety monitoring programme. In particular specifying:

- *The timing, participation in and scope of the monitoring activities, and*
- *The arrangements for ensuring that improvement actions are tracked, followed-up, closed out and communicated to appropriate staff.*

When specifying the scope of monitoring activities care should be taken to include all work tasks, plant, equipment and materials, relevant to the shared activity, including those of third parties. The relevant accountabilities and responsibilities of the parties for health and safety performance monitoring should also be detailed.

A monitoring programme and arrangements may include for example:

- *Regular health and safety meetings*
- *Worksite/plant/equipment inspections*
- *Observation of work/behaviour*
- *Competence reviews*
- *General housekeeping inspections*
- *Joint management worksite visits*
- *Workforce surveys*
- *Incentive/recognition schemes*
- *Improvement initiatives and campaigns*

4.2 Investigation and recording of accidents and incidents

Define and agree:

- The arrangements and responsibilities for accident and incident notification (both internally and to the authorities).
- The arrangements for jointly reporting, investigating and reviewing accidents and incidents, including cases of occupational illness.
- Mechanisms to enable effective communication, tracking and implementation of accident and incident corrective actions.

Considerations

In particular specify:

- *The participation in and scope of accident and incident investigations.*
- *The timing, participation in and scope reviews of the investigation findings.*
- *The arrangements for ensuring that corrective actions are tracked, followed-up, closed out and communicated to appropriate staff.*

The relevant accountabilities and responsibilities of the parties for accident and incident notification, investigation, reporting, reviewing and follow-up should also be detailed.

The parties should determine the boundaries of the shared activity and define the circumstances under which accidents and incidents are to be reported and included in performance statistics.

5.0 Audit and review

Purpose

To define the basis under which health and safety auditing and management reviews will be conducted.

5.1 Audit, review and apply the lessons

Define and agree:

- The arrangements for audits and management reviews of the agreed SMS Interfacing Arrangements for the shared activity.
- The arrangements for tracking and implementing audit and management review findings and recommendations.

- The arrangements for communicating lessons learned from audits and management reviews to relevant personnel, including senior management.
- The arrangements for the joint management review of health and safety performance and confirming the achievement of agreed objectives and targets.

Considerations

Taking account of the requirements in the parties' respective SMS's, prepare an agreed structured joint audit and management review programme.

In particular specify:

- *The timing, participation in and scope of the audits and reviews.*
- *The arrangements for ensuring that improvement actions are tracked, followed-up, closed out and communicated to appropriate staff.*

The relevant accountabilities and responsibilities of the parties for audit and review should also be detailed.

Such audits/reviews may include for example:

- *Pre-execution audits.*
- *Audits of third parties.*
- *SMS audits.*
- *Audits to check compliance with standards.*
- *Audits to assist the implementation of health and safety plans.*
- *Final review of the SMS Interfacing Arrangements before the start of operations.*
- *Periodic reviews of health and safety performance reports, including reviews of incident reports and statistics.*
- *Audits to check compliance with SMS Interfacing Arrangements.*
- *Periodic reviews of the effectiveness of the SMS Interfacing Arrangements, including updates of relevant documentation.*
- *Demobilisation and close out reviews.*

Appendices

Appendix 1 SMS Interfacing Arrangements Issues Matrix

The SMS Interfacing Arrangements Issues Matrix should be used:

- As a working tool to assist in the identification of key interface issues, whilst following the model format.
- To note any particular comments about the issue - eg the extent of application of a particular procedure, or any other working notes or comments.

Issues may be added or deleted, as required, to address the specific needs of the shared activity.

Tick applicable interface issues

INTERFACE ISSUES TO BE ADDRESSED	COMMENTS / WORKING NOTES	<input checked="" type="checkbox"/>
<ul style="list-style-type: none"> • 1.0 Set Interfacing Policy/Objectives <ul style="list-style-type: none"> 1.1 Policy Objectives and Corporate Acceptance of Responsibility 		
Health and safety objectives		<input type="checkbox"/>
Joint statement of commitment (if appropriate)		<input type="checkbox"/>
<ul style="list-style-type: none"> • 2.0 Organise <ul style="list-style-type: none"> 2.1 Structure and Accountability 		
Integrated organigram		<input type="checkbox"/>
Responsibility statements		<input type="checkbox"/>
Communication of SMS Interfacing Arrangements to persons on integrated organigram		<input type="checkbox"/>
Communication of SMS Interfacing Arrangements to workforce		<input type="checkbox"/>
Additional resources for SMS Interfacing Arrangements		<input type="checkbox"/>
Working time arrangements		<input type="checkbox"/>
<ul style="list-style-type: none"> 2.2 Involvement of the Workforce 		
SMS Interfacing Arrangements for employee Safety Representatives and Safety Committees		<input type="checkbox"/>
<ul style="list-style-type: none"> • 3.0 Plan and Set Standards <ul style="list-style-type: none"> 3.1 Hazard Analysis and Controlling Risks 		
Review of applicable health and safety regulations		<input type="checkbox"/>
Process for hazard identification & assessment		<input type="checkbox"/>
Risk assessments (see below for typical issues to be addressed)		<input type="checkbox"/>
QRA/Hazop/Hazid		<input type="checkbox"/>

INTERFACE ISSUES TO BE ADDRESSED	COMMENTS / WORKING NOTES	✓
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3.1 Hazard Analysis and Controlling Risks (Cont.)

Task/activity specific risk assessments		
COSHH/workstation/manual handling assessments		
Method statements and work instructions		
Communication of risk assessments		
Permit to Work System		
General Standards (See below for typical issues to be addressed)		
Passenger and freight transportation		
Basket transfers		
Adverse Weather Working Policy		
Scaffolding/Access/Working Environment		
Tools and equipment		
Electrical		
Ignition sources		
Housekeeping		
Personal Protective Equipment		
Equipment Procurement Standards		
Equipment Certification		
Equipment QC System		
Safety critical equipment verification		
Occupational Hygiene Standards (See below for typical issues to be addressed)		
Hazardous substances/materials		
COSHH/OCNS		
Dangerous Goods Declaration - IATA Regs		
Noise and vibration		
Thermal radiation		
Ionising/Non-Ionising radiation		
Pressure		
Manual handling		
Display screen equipment		
Food hygiene		
Potable water, <i>Legionella</i> sampling		

3.2 Competency and Training

Competence assurance process		
Onshore induction		

INTERFACE ISSUES TO BE ADDRESSED	COMMENTS / WORKING NOTES	<input checked="" type="checkbox"/>
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3.2 Competency and Training (Cont.)

Offshore induction - health and safety		
Offshore induction - job		
PTW system formal training		
Job and task training		
Hazardous substances training		
Occupational health and hygiene training		
Emergency response training		

3.3 Control of Change

Method for developing, agreeing and reviewing programme of shared activity		
Responsibilities and arrangements for managing change to: (See below for typical issues to be addressed)		
Programme of shared activity (workscope/programme/plans)		
Management structure		
Key personnel		
SMS Interfacing Arrangements		
Engineering, hardware mods.		
Safety Case impact		
Health and safety standards and procedures		

3.4 Selection and Control of Third Parties

Third party qualification and selection		
Third party SMS Interfacing Arrangements		

3.5 Control in Emergencies

Emergency response organigram/plan/responsibilities		
Emergency communication		
Exercises and drills schedule		

3.6 Occupational Health (See below for typical issues to be addressed)

Health and fitness screening/monitoring		
Drug and alcohol abuse policy		
Smoking, hygiene and welfare		
Medical treatment/emergencies		

- 4.0 Measure Performance

4.1 Active Monitoring

Key health and safety performance indicators		
Joint health and safety performance targets		

INTERFACE ISSUES TO BE ADDRESSED	COMMENTS / WORKING NOTES	<input checked="" type="checkbox"/>
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4.1 Active Monitoring (Cont.)

Structured health and safety monitoring programme (see below for typical issues to be addressed)		
Health and safety meetings schedule		
Worksite/plant/equipment inspections		
Observation of work/behaviour		
Competence reviews		
General housekeeping inspections		
Joint management worksite visits		
Workforce surveys		
Recognition/incentive schemes		
Improvement initiatives		
Health and safety performance reports (Review of performance against targets etc.)		
Communication/tracking/follow-up of improvement actions - shared learning		

4.2 Investigation and Recording of Accidents and Incidents

Accident and incident notification (internally and externally to authorities)		
Accident and incident reporting, investigation and review		
Communication/tracking/follow-up of accident and incident corrective actions - shared learning		

• 5.0 Audit and Review

5.1 Audit, Review and Apply the Lessons

Structured joint health and safety audit and review programme (See below for typical issues to be addressed)		
Pre-execution audits		
Audits of third parties		
SMS audits		
Audits to check compliance with standards		
Audits to assist the implementation of health and safety plans		
Final review of the SMS Interfacing Arrangements before start of operations		
Periodic reviews of safety performance reports, including reviews of accident and incident reports and statistics		
Audits to check compliance with SMS Interfacing Arrangements		
Review and update of SMS Interfacing Arrangements		
Demobilisation and close out reviews		
Communication/tracking/follow-up of audit and review recommendations - shared learning of lessons from audits and reviews		

Appendix 2 SMS Interfacing Arrangements Briefing Record

SMS Interfacing Arrangements Briefing Record (Title of the shared activity)			
To be completed by the party receiving the briefing.			
ITEM	DESCRIPTION	COMMENTS (see attached)	
		Yes	No
1.0	Set interfacing policy/objectives	<input type="checkbox"/>	<input type="checkbox"/>
2.0	Organise	<input type="checkbox"/>	<input type="checkbox"/>
3.0	Plan and set standards	<input type="checkbox"/>	<input type="checkbox"/>
4.0	Measure performance	<input type="checkbox"/>	<input type="checkbox"/>
5.0	Audit and review	<input type="checkbox"/>	<input type="checkbox"/>
<p>I have read and understand and accept my accountabilities and the detailed arrangements as defined in the interface agreement for the above.</p> <p>Name _____</p> <p>Position _____</p> <p>Company _____</p> <p>Signature _____ Date _____</p>			

Appendix 3 SMS Interfacing Arrangements Review Checklist

- 1.0 Set Interfacing Policy/Objectives

Yes Partly No N/A

- 1.1 Policy Objectives and Corporate Acceptance of Responsibility

Is there a fully endorsed joint statement of health and safety commitment for the shared activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have health and safety goals and objectives for the shared activity been defined?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 2.0 Organise

- 2.1 Structure and Accountability

Yes Partly No N/A

Is there an agreed integrated organigram?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have key accountabilities and responsibilities been assigned and defined for all personnel on the integrated organigram? (Responsibility Statements)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have owners for all key SMS Interfacing issues been identified in the integrated organigram/responsibility statements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the integrated organigram (with accompanying responsibility statements) compatible with those defined in the respective parties' SMS's and Safety Cases?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have the personnel on the integrated organigram confirmed their understanding and acceptance of their assigned accountabilities and responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the integrated organigram (and responsibility statements) been tested with all people on it to ensure that potential conflicts, gaps and overlaps in accountabilities which may prejudice health and safety are identified and resolved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have the documented SMS Interfacing Arrangements been properly prepared, circulated, communicated and approved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have any necessary changes to the SMS Interfacing Arrangements been made, agreed and revision status recorded?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has a check been made to establish if resources are adequate to manage the SMS Interfacing issues and risks arising from the shared activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have additional resources been provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If 'Yes', what resources? _____ _____ _____				
Have routine communication arrangements covering relevant areas of work execution been agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

• 2.0 Organise (Cont.)

2.2 Involvement of the Workforce

Yes Partly No N/A

Have arrangements been agreed for consulting, involving and communicating with the workforce on health and safety?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there a plan to involve Employee Safety Representatives in specific health and safety management activities? (eg performance monitoring and reviews, worksite inspections, audits and accident and incident investigations)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have Employee Safety Representatives been consulted on and participated in these SMS Interfacing discussions and agreements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

• 3.0 Plan and Set Standards

3.1 Hazard Analysis and Controlling Risks

Yes Partly No N/A

Have the parties agreed a process for identifying and assessing health and safety hazards that may arise from the shared activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have arrangements for identifying, assessing and controlling the health and safety risks arising from the work of third parties been defined and agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have the parties confirmed that all significant workplace and activity risks arising from the shared activity have been identified, assessed and documented and appropriate controls and recovery measures put in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have all job specific risk assessments, including manual handling, COSHH assessments, etc, been completed and documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have the parties agreed how the results of risk assessments will be communicated to appropriate personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has a check been made to establish the statutory health and safety provisions relevant to the shared activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have the parties identified and drawn up a list of their respective systems, policies, standards, procedures etc which they propose to apply to manage the health and safety risks arising from the shared activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has a review of the content of the agreed standards, procedures etc, been carried out to confirm that the arrangements and controls in them comply with the law, are adequate to manage the health and safety risks, and do not present any conflicts which may prejudice health and safety?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are processes in place to ensure that all work equipment and plant is suitable for its purpose and maintained in an efficient state, efficient working order and in good repair?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have QA, certification and/or verification requirements with respect to materials, plant and equipment to be used been met?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have arrangements been agreed and defined for reporting any known hazard or risk related deficiencies with work equipment or plant?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have arrangements been agreed and defined for ensuring that materials hazardous to health are identified, risks arising from exposure adequately assessed, and suitable controls applied? (Including the necessary information, instruction and training.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.2 Competency and Training

	Yes	Partly	No	N/A
Have arrangements for selecting, placing and assessing personnel with the necessary competencies been discussed and agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there a system to confirm that all personnel involved in the shared activity have the necessary competencies to fulfil the requirements of their job/role?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have specific arrangements for induction training, additional health and safety training, and emergency response training been defined and agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.3 Control of Change

	Yes	Partly	No	N/A
Is there an agreed method of developing, agreeing and keeping under review the programme for execution of the shared activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have responsibilities and arrangements been defined for managing changes which may impact upon health and safety? (eg changes to work programmes, plans, key personnel, work instructions, method statements, materials and equipment, health and safety standards and procedures, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.4 Selection and Control of Third Parties

	Yes	Partly	No	N/A
Have arrangements been defined and agreed for qualifying and selecting third parties in terms of their health and safety management capability and performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have arrangements for interfacing with the SMS's of third parties been defined and agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have the parties verified that suitable SMS Interfacing Arrangements with third parties have been established and documented? (and tested by a check similar to this one?)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.5 Control in Emergencies

	Yes	Partly	No	N/A
Have the parties' respective responsibilities for emergency response, including evacuation and rescue, and onshore/offshore emergency control and recovery been defined and agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the information to be communicated between parties and to third parties in the event of an emergency been defined and agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there an agreed schedule of emergency exercises and drills?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.6 Occupational Health

	Yes	Partly	No	N/A
Have arrangements for ensuring that personnel meet the standards of health and fitness required by the job, including pre-employment health screening, drug and alcohol abuse policy, smoking, hygiene and welfare, been defined and agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have any additional health and fitness requirements specific to the shared activity been identified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are joint health screening and monitoring arrangements required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

• 4.0 Measure Performance

4.1 Active Monitoring

	Yes	Partly	No	N/A
Has a set of key health and safety performance indicators been agreed, and has a system been set up to gather, collate and analyse the information and report it to all parties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have joint health and safety targets been agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have arrangements for the regular review of health and safety performance against targets been agreed and defined? (Including implementation of improvement actions and shared learning.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there an agreed schedule of health and safety meetings at all levels within the shared activity? (With agreed scope and participants.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there a structured health and safety monitoring system in place? (Including observation of work behaviour, worksite, plant and equipment inspections, joint management visits etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does worksite health and safety monitoring cover all work tasks materials, equipment and plant, relevant to the shared activity, including the work tasks, equipment etc, of third parties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.2 Investigation and Recording of Accidents and Incidents

	Yes	Partly	No	N/A
Have the arrangements and responsibilities for accident and incident notification (both internally and to the authorities) been defined and agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have arrangements for jointly investigating and reviewing accidents and incidents, including cases of occupational illness, been defined and agreed? (Including arrangements for communication, tracking and implementation of corrective actions and shared learning.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

• 5.0 Audit and Review

5.1 Audit, Review and Apply the Lessons

	Yes	Partly	No	N/A
Is there an agreed programme for health and safety audits and management reviews? (including arrangements for tracking and implementation of audit and review actions).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has participation in and the scope of health and safety audits and management reviews been defined and agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do health and safety audits cover the effective implementation of SMS's at all levels within the shared activity? (Including the health and safety management of third parties.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there an agreed programme for reviewing the effectiveness of the SMS Interfacing Arrangements? (Including periodic review and update of relevant documentation and demobilisation and close out reviews.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there an agreed programme for joint management review of health and safety performance and confirming the achievement of agreed targets and improvement plans?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have arrangements for communicating lessons from audits and management reviews to relevant personnel, including senior management, been defined and agreed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

STEP CHANGE IN SAFETY



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