

Health and Safety Policy

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Document Control

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Confidentiality Statement

The contents of this document are confidential and propriety to Roc Technologies. This document is submitted on the condition that the reader does not disclose the information contained herein to any third party without the written consent of Roc Technologies Limited. By receiving the Roc Technologies submission of this document, the reader further agrees not to disclose the contents hereof internally other than those of its agents, principals, representatives, consultants, or Employees who need to know these contents for the purposes of the reader's evaluation of the document.

The reader agrees to inform such persons of the confidential nature of the contents hereof and to obtain their agreement to preserve the confidentiality hereof to the same extent as the reader. The reader further agrees to treat the confidential information contained herein with the same level of care as it takes with respect to its own confidential information, but in no event with less than reasonable care.

3 Roc Technologies Policy Statement

Roc Technologies recognises its duties under the Health and Safety at Work act 1974 and commit fully to the following:

- The prevention of injury and ill health to all staff and persons working under the control of the company
- Continual improvement in Occupational Health and Safety (OH&S) and OH&S Performance.
- To comply with applicable Health and Safety legal requirements

Roc Technologies will also, as far as reasonably practicable:

- Provide adequate control of health and safety risks arising from our work activities
- Consult with our Employees on matters affecting their health and safety
- Ensure that all machinery, plant, and equipment is maintained in a safe condition without risk to health
- Establish arrangements for the use, handling, storage and transport of articles and substances provided for use at work, which are safe and without risk to health
- Provide Employees with such information, instruction, training, and supervision as is necessary to secure their safety and health at work and that of others who may be affected by their actions
- Ensure all Employees are competent to do their tasks, and to give them adequate training
- Maintain systems of work that are safe and without risk to health
- Provide and maintain a safe working environment and make adequate provision and arrangements for welfare facilities at work
- Ensure others that are “working on behalf of” the organisation e.g., contractors are competent to do so and aware of the safety controls in place
- Maintain the place of work so that it (and access to and exit from it) is safe and without risks to health.

The duties of Employees are to:

- Co-operate fully with supervisors and managers on all health and safety matters
- Not interfere with anything provided to safeguard their health and safety
- Take reasonable care of their own health and safety and ensure their actions will not jeopardise the safety and health of others
- Report all health and safety concerns to an appropriate person as detailed in the policy.

To ensure that this policy is effective, Roc technologies will:

- Review it annually, or on significant changes in our business
- Make any such changes known to Employees
- Maintain procedures for communication and consultation between all levels of staff on matters of health, safety, and welfare.

Signed



Date: 16/06/2023

Ian Furness
Chief Executive Officer

4 Introduction

Roc Technologies Limited recognises the fact that proactive health and safety management brings positive benefits to the organisation and an on-going commitment to continual improvement in safety management helps to drive these benefits. It also recognises that health and safety is a business function and must, therefore, continually progress and adapt to change. The Roc Technologies approach to health and safety will be based on the identification of risks and control of hazards.

As there are distinct benefits to be gained from providing a safe and healthy working environment, appropriate levels of resources will be allocated to ensuring health and safety compliance within the organisation. A positive, open culture will be encouraged within the organisation and senior management shall actively support this through example.

5 Measuring Effectiveness

The company will measure the effectiveness of its Health & Safety policies and procedures by regular inspections and checking to ensure that standards are being implemented and management controls are working.

Reactive monitoring will also take place if things go wrong which will include investigating injuries, cases of illnesses, property damage and near misses.

6 General Principle and Responsibilities

6.1 General Principle

- No Executive, Manager, or Employee of the Company may undertake or authorise any activity which places other Employees, or others, in danger, or is in breach of legal requirements with respect to health and safety.

6.2 The Board

The Board is responsible for:

- Demonstrating leadership on health and safety matters always both as a group and as individuals
- Appointing the 'CEO' to oversee fulfilment of the Board's health and safety responsibilities as listed below
 - Revising the health and safety policy at least annually, on the advice of the H&S Advisor
 - Reviewing health and safety performance at least 12 months by receiving reports of the annual health and safety audit and other performance measures
 - Agreeing health and safety targets and objectives for the company and monitoring their implementation
 - Receiving investigation reports of serious untoward incidents/work related ill health and responding effectively to those reports
 - Reviewing the effectiveness of measures to consult with and involve the workforce in health and safety
 - Considering the health and safety implications of introducing new processes, new working practices, new personnel, or other significant business change, at the planning stage and taking the action necessary to mitigate any increased risk
 - Ensuring that no significant changes to the business are introduced without dedicating sufficient resources for health and safety purposes and managing the change effectively
 - Ensuring that there are arrangements in place for the Board to receive reports on the impact on health and safety performance following the introduction of significant changes
 - Ensuring that the company has access to competent advice on health, safety and fire safety matters including access to specialist advisors where necessary
 - Considering health and safety needs when deciding senior management appointments
 - Ensuring board members receive a briefing on health and safety requirements from a competent health and safety advisor, or a H&S Executive.
 - Receiving regular update briefings on new and changed legal requirements and other external developments and ensuring that action is initiated to make any necessary internal changes

6.3 Executives

The CEO has final and overall responsibility for health and safety matters within the company and will along with the Executive Team:

- Take a leadership role on health and safety matters by setting a good example and acting promptly where deficiencies are identified
- Allocate adequate resources to implement the Health and Safety Policy
- Ensure that the Health and Safety content of Board meeting agendas meets the policy requirements detailed above
- Review this policy at least annually and more frequently where appropriate e.g., because of changes within the company, the work activities or legislation and guidance
- Appoint a company Health and Safety Advisor and any other specialist advisors as required
- Keep the Health and Safety Advisor informed of:
 - Accidents, incidents, and work-related ill health issues which caused or had the potential to cause serious injury or ill health
 - Any proposed changes to the premises, activities, or management structure
 - Any new hazards not already identified within risk assessments which have been brought to his attention
 - Any visits by, or correspondence with, enforcing authorities
 - Any difficulties or delays in implementing advice provided by the Advisors
- Review the health and safety standards and practices of the company on an ongoing basis
- Investigate serious accidents, incidents and cases of ill health that are alleged to be work related, seeking assistance from the Health and Safety Advisor where necessary and ensuring that statutory reports are made for serious incidents in accordance with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)
- Ensure that there is an effective mechanism for consulting with Employees on health and safety matters through team meetings
- Ensure that there are appropriate arrangements for the selection and training of Employees, considering health and safety competence and attitude requirements
- Ensure that supervisory staff are aware of the importance of enforcing health and safety rules and leading by example by following the rules themselves
- Oversee the purchase of equipment and materials to ensure that safety requirements are met and that relevant information such as instructions and safety data sheets are supplied
- Ensure that for equipment or materials purchased from outside the EU the Company is the 'importer'; arrangements are made to ensure that EU product safety legislation and material labelling requirements are met
- Ensure that there are suitable control measures in place for compliance with the Construction Design and Management Regulations 2015
- Instruct Executives and managers listed in this policy, reporting directly to the CEO in their specific responsibilities and review their success in meeting their obligations both on an ongoing basis and formally during their annual appraisal. Responsible for the effective implementation of ROC Technologies' Health & Safety Policy and they will ensure that adequate resources to implement the objectives of the Policy are available

- Will ensure that Company Executives are aware of their responsibilities and that each administers and promotes with enthusiasm the requirements of this Policy.
- Will ensure that adequate channels of communication are maintained within the Company, so that information concerning Health and Safety issues brought up by any Employee is communicated to the appropriate member of management. Will ensure that Employees or their representatives are given the opportunity to offer advice on Health and Safety and involve them in planning
- Will delegate responsibility for Health and Safety matters to all levels of management within the company and ensure that they are adequately trained and instructed to undertake such responsibilities
- Will sanction adequate funds, materials, and equipment to meet the Health and Safety requirements of the company
- Will evaluate all risks within the Company relating to matters concerning Health and Safety and, accidents, loss or damage to Company property or risks to members of the public through Company activity. They will also ensure that the Company's liabilities are adequately covered by insurance
- Will ensure that the Company will not carry out work, which is liable to expose any Employees to any substance hazardous to health unless a competent person has carried out an assessment
- Will ensure that accident records and reports are kept, and all accidents are investigated
- Will ensure that absences due to accident or injury at work are constantly reviewed
- Will ensure early Health and Safety planning of work is undertaken and where the Construction (Design and Management) regulations apply to construction work, will cooperate with clients, planning supervisors, designers, and subcontractors
- Will arrange where necessary, for advice and assistance on occupational health and ensure that Employees health is not affected by their work activity
- Will regularly review and update the Company Health and Safety Policy considering any new legislation. In addition, will implement the provisions of all Government Directives by the required dates.

6.4 Management

The role is therefore to:

- Take a leadership role on health and safety matters by setting a good example and acting promptly where deficiencies are identified
- consult with Employees on health and safety matters during team meetings; *OR for organisations with a health and safety committee, the responsibility might be to attend quarterly health and safety committee meetings*
- Plan the work of staff to avoid dangerously excessive working or driving hours and to ensure compliance with the Working Time Regulations
- In the selection of Employees, consider the health and safety competence requirements including attitude to health and safety matters and fitness for work
- provide appropriate skills/health and safety training to Employees on starting employment and when their job role or work activities change, reviewing training needs during annual appraisals

- Ensure that employees are only given tasks for which they are competent, and that adequate staffing is provided for the safe completion of tasks
- Ensure Employees and sub-contractors, are sufficiently supervised, and monitored to the extent that this is practicable and necessary having regard to the work activities and the competence of the workforce
- in the purchase of equipment and materials, ensure that safety requirements are met and that relevant information such as instructions and safety data sheets, are supplied
- Ensure that work equipment, vehicles and personal protective equipment are suitable for purpose, supplied where necessary and properly maintained
- Only select construction and maintenance contractors who have demonstrated their competence and resourcing to undertake the work safely and ensure that contractors receive and are requested to provide, adequate information for them to carry out their work safely and without adversely affecting others
- Work with the Health and Safety Advisor to ensure that risk assessments are undertaken to cover general hazards, DSE, fire safety, the use of hazardous and dangerous substances, manual handling, noise, the use of computers, first aid needs, provision and use of work equipment, personal protective equipment, work, or work experience involving under 18-year-olds and the needs of new and expectant mothers at work Note: this list is not exhaustive
- Ensure that risk assessments are acted upon and that the results are shared with Employees undertaking those activities
- Instruct the company managers listed in this policy, reporting to the Operations Manager] in their specific responsibilities and review their success in meeting their obligations both on an ongoing basis and formally during their annual appraisal
- In the absence of an Executive take on other aspects of his role as necessary e.g., accident investigation and liaison with the Health and Safety Advisor
- Report to the CEO any health and safety concerns which they are not able to resolve
- Produce a construction phase plan, risk assessments and method statements to cover the work of engineers on site
- Formally review the quality and safety of workmanship by Employees and sub-contractors, both during the work activity and by review of the completed work, reporting the outcome to the Executives
- Ensure that information is obtained from the Client and/or from site visits to identify site hazards and that the necessary precautions are incorporated into the method statement before the work commences
- Ensure that any design and specification work carried out by the Company considers the safety of those using and maintaining the installation and that information is provided to the client, to assist them in managing it safely on an ongoing basis
- Check that clients are aware of their duties under the Construction (Design and Management) Regulations prior to starting work and where the work involves more than one contractor, obtain the details of the appointed Principal Contractor and Principal Designer
- Ensure that workers have access to welfare facilities when undertaking site work

- Ensure that reasonable steps have been taken to secure the site from unauthorised entry, as appropriate
- Ensure that all Roc facilities have trained and appointed first aiders and fire wardens
- Ensure emergency arrangements in place.

6.5 All Employees

All Employees must take care of themselves, and others affected by their acts and omissions.

All Employees and are expected to:

- Familiarise themselves with this health and safety policy and workplace and task-based risk assessments and method statements/construction phase plans relevant to their work activities, comply with the requirements set out and raise any shortfalls in the content with their manager/supervisor
- Follow the safety rules and their training for the work activity and the location
- Know the emergency procedures for the location at which they are working
- Use vehicles, equipment, materials, or substances in accordance with information, instruction and training provided by the Company
- Not use defective equipment or misuse equipment
- Wear personal protective equipment issued appropriate to the job they are doing
- Look after personal protective equipment and report loss or damage to their supervisor
- Report any safety problems, accidents or near misses to their manager/supervisor
- Not work under the influence of alcohol or drugs.

6.6 Visitors and Contractors

- On arrival all visitors will be met by a member of Roc's Administration Team or the Employee inviting the visitor to the office or facility.
- The Employee responsible for inviting the visitor to the office or facility is to take responsibility for the visitor(s) and:
 - assist in their evacuation from the building during an emergency
 - arrange help in the event of an accident
 - made aware of fire evacuation procedures and muster points
 - where applicable, location of safe havens for those with disabilities which may impair their ability to evacuate the premises in an emergency
 - informed of toilet and refreshment facilities including those suitable for those with disabilities.
- All contractors working in office or facilities are responsible for ensure they work in a safe manner and that which will not place anyone else in danger
- All contractors must report any concerns relating to their own safety or suspected unsafe working practices to the Facilities Manager, Administration Team, or the Employee responsible for inviting them to the office or facilities.

7. Specific Responsibilities

7.1 HR Manager

The HR Manager has been allocated specific responsibilities to:

- Ensure all new starters receive health and safety induction training
- Ensuring that employers liability insurance is maintained and that the current certificate is displayed.
- Retain training records for all skills and health and safety training undertaken in the business
- Ensure DSE assessments are undertaken by all DSE users
- Maintain arrangements for providing eye and eyesight tests for regular users of display screen equipment and ensure that relevant Employees are made aware of these arrangements.
- Ensure that management practices are consistent with statutory requirements in relation to working hours, employment of children, young persons, pregnant Employees, and new mothers at work
- Ensure appropriate risk assessments are undertaken for work undertaken by new and expectant mothers and that display screen workstations are assessed for new starters and whenever there has been a significant change in a job role or the working environment
- Report any health and safety concerns which they are not able to resolve through their line manager.
- Carry out an annual check of the original driving licence of all staff that drive on company business and the insurance arrangements for private cars used on company business

7.2 Facilities / Vehicle Fleet Manager

The Facilities Manager has been allocated specific responsibilities to:

- Arrange for the testing and inspection of the fixed electrical installation and highlight to the CEO any remedial actions required (the frequency of electrical installation inspections will be at least every five years in an office and at least every three years in industrial premises)
- Arrange for the testing of portable electrical equipment using internal or external electricians according to an agreed schedule
- Ensure that First aid arrangements are maintained within the facilities and vehicles
- Ensure there is first aid/ Fire warden cover within the Roc facilities
- Ensure the fire extinguishers are serviced annually by a specialist contractor
- Monitor daily those high standards of housekeeping are maintained, with gangways and exits remaining clear and unobstructed and kitchens/toilets in a clean condition
- Test the fire alarm on a weekly basis, record the outcome and instigate any remedial action required
- Check the contents of the first aid kit/s on at least a monthly basis and replenish supplies as necessary
- Implement fire safety measures specified in the fire safety risk assessment
- Ensure that the no smoking policy is strictly applied

- Conduct a monthly activation test of emergency lighting and ensure that an electrician conducts an annual inspection of the lighting and full discharge test
- Ensure that the building fabric and services are maintained in good condition and effective working order
- Ensure that records are maintained of all the above premise's checks, testing, and maintenance activities
- Report to the Designated Executive Lead any health and safety concerns which they are not able to resolve
- Ensure that all company vehicles are insured for business use for those authorised to drive them.

7.3 Health and Safety Advisor

The appointed Health and Safety Advisor has day to day responsibility for maintaining health and safety standards of the company. They will:

- Maintain the Health and Safety Manuals at each location
- Maintain the safety Management policies and procedures
- Developing a strategy for, and conducting, site inspections and risk assessments
- Keeping up to date with legislation and policies, and making sure they are followed
- Developing health and safety policies and procedures
- Identifying hazards, and risk reduction measures
- Ensuring equipment is installed and used correctly
- Instigating necessary changes in working practice
- Compiling data, maintaining records, and writing reports
- Conducting in-house training and health and safety meetings for employees and managers
- Advising on specific health and safety issues, such as fire regulations, hazardous substances, and occupational diseases
- Investigating any health and safety complaints and incidents
- Liaising with external health and safety authorities and unions
- Giving guidance to employers, managers, and supervisors on how to comply with health and safety law.
- Report to the Designated Executive Lead any health and safety concerns which they are not able to resolve.

7.4 Designers (under CDM 15)

Anyone specifying materials to be used and / or responsible for design or the layout of an intended installation must:

- Understand and promote the Company Health & Safety Policy

- Will assist the Company in the implementation of the Management of Health and Safety at Work Regulations 1999 and the Construction (Design and Management) Regulations 2015
- Will ensure the design submitted to the Project Manager / Senior Project Manager has considered the following risks:
 - Can the materials be safely installed?
 - Can the method of installation avoid; working at heights; confined spaces; other services; other contractors etc?
 - Can the installation avoid 'live' electrical working?
 - Is there adequate lighting for the installation?
 - Is the environment 'friendly' for the installation?
 - Is there enough power for the installation?
 - Are site facilities suitable and available?
 - What are there any site hazards?
 - Can the materials be reduced in size for manual handling etc?
 - Can the materials be delivered and moved around site safely?
 - Can the equipment be safely maintained?
 - Are any substances in the installation hazardous, and if they are, can an alternative be specified?

This list serves only as an example of possible safety risks. The actual list for any site is likely to be much more extensive and may lead to several hazards which cannot be identified at the design stage and will therefore have been forwarded to the Project Manager / Senior Project Manager for consideration during installation.

8. Disciplinary Procedure

Although we will always consider the circumstances of any case before deciding on the appropriate action, some behaviours, including those related to Health and Safety, may fall under Gross Misconduct and as such be serious enough that any act justifies dismissal without notice or payment in lieu of notice.

- Serious breach of health and safety rules and policy
- Removing any guard or protective device without permission of Management
- Operating any machine, plant or equipment without the necessary training or authority
- Misusing items provided for first aid
- Recklessly interfering or misusing anything provided in the interests of health and safety or welfare work
- Misusing any chemical, flammable substance, toxic material etc.
- Smoking in designated 'no smoking' areas especially whilst using flammable substances (including e-cigarettes)
- Making false declarations or interfering with evidence following an accident or dangerous occurrence
- Misuse of compressed air, electrical or pneumatic equipment
- Overloading any lifting equipment
- Physical violence
- Deliberate damage to company and Client property.

Note: this policy and contents must be read in conjunction with the Disciplinary Policy which can be found on the company intranet.

Note: this list is not exhaustive.