

Safety Excellence Matrix

Area	Focus	1	2	3	4	5
Leadership	Leading by example	Safety first on the agenda of all meetings and discussions	Staff and workforce sign up to appropriate personal safety commitments (site specific)	Project Director / Manager and direct reports demonstrate their personal safety commitments through their actions	Demonstrable evidence that managers and/or supervisors have contributed to more efficient ways of improving H&S performance	Demonstrable evidence that the workforce has contributed to more efficient ways of improving H&S performance
	Highly visible safety leadership from Highways England and delivery partners	Highways England Project Manager and delivery team's Project Director carry out programmed (monthly) senior manager tours.	Senior Management from the project including Highways England Project Manager introduce project induction to establish H&S commitments and goals	Monthly safety review meeting that includes workforce representation held monthly and chaired by Project Director	Quarterly project events with supply chain to reinforce commitments, requirements and share best practice	Demonstrable evidence that project has made a positive difference to health and safety in the construction industry.
	Effective plans in place for delivering all Highways England health and safety objectives	Project safety improvement plan in place to deliver all health and safety objectives and identifies and reduces TopX risks with measurable outcomes.	Progress against the project safety improvement plan is routinely (quarterly) reviewed by the Highways England & DP Project Manager.	Project can demonstrate achievement of 75% of outcomes in safety improvement plan to deliver all health and safety objectives.	Project can demonstrate achievement of 100% of outcomes in safety improvement plan to deliver all health and safety objectives.	Recognised as leading the delivery of the all health and safety objectives by demonstrable outcomes.
	Promoting and reinforcing safe behaviours	Behavioural safety programme in place that meets the minimum requirements contained "Raising the bar 5".	Project Director personally recognises and rewards safe behaviour from workforce (at least monthly).	Evidence that project management routinely (monthly) tour the site and provide positive feedback to the workforce on safe behaviour.	The workforce routinely provides feedback to project management on safety standards and opportunities for improvement (not just observation cards).	Evidence that Project Management have taken actions to address workforce feedback (not just observation cards)
	Actively encouraging honest performance feedback.	Project Director personally reports on learning from RIDDOR and High Potential events with workforce	Confidential reporting process in place to provide comments direct to Project Director (or off site Director) and is independent to Observation Cards	Project Director routinely (monthly) invites feedback on safety performance from the workforce	Project Director routinely (monthly) invites feedback on safety performance from its supply chain.	Evidence that Project Management have taken actions to address feedback from open door policy.

Area						
Communications & Information	Lessons learnt from accident/incident investigations proactively shared	Lessons learned from significant events shared with workforce via briefings and safety alerts	Attendance at regional Construction Safety Performance meetings / + NDD similar arrangement to share incidents and lessons learned	Proactive involvement in H&S Hub in production of specific deliverables. E.g. RTB standards, alerts, newsletters.	Historical accident data analysed to produce "Predict and Prevent" information that is used as the basis for performance improvement	Hosting events to share lessons learned and best practice with other contractors
	Workforce routinely provides feedback on hazards, close calls, improvement opportunities or observations	Near miss card/ observation/ intervention/ don't walk by scheme in place - <1 notification received per 1000hrs worked.	Near miss card/ observation/ intervention/ don't walk by scheme in place - >1 notification received per 1000hrs worked.	Near miss card/ observation/ intervention/ don't walk by scheme in place - > 50% of notifications are from operatives.	Near miss card/ observation/ intervention/ don't walk analysed and "You Said - We Did" feedback provided to workforce	Near miss card/ observation/ intervention/ don't walk scheme produces at least two safety improvements per month.
	Active use of Raising the Bar (RtB) , Interim Advice Notes (IANs), and Highways England safety toolkit	RtB guidance available and displayed on project notice boards with good awareness by site team.	Visible evidence that RtB and IAN's minimum requirements are achieved on site (must tie in with audit results)	Visible evidence that RtB desirable requirements are achieved on site in 5 RtBs (must tie in with audit results)	Visible evidence that RtB desirable requirements are achieved on site in 10 RtBs (must tie in with audit results)	Active submission of case studies to Highways England safety toolkit (>1 per quarter)
	Effective briefings on risk assessment	Risk assessment briefings provided to workforce at least monthly.	Applicable tool box talks provided to workforce and repeated monthly	Presenters trained in effective communication techniques.	Risk assessment briefings always end in active Q&A session	Briefings on risk assessment utilise pictures, models etc. rather than words
	Effective communications using a variety of media	Safety information and performance displayed on notice boards	Safety information and performance displayed on other forms of media (e.g. VMS, video screens, walls)	Safety information displayed on site using "nudge theory/ visual management" or similar to warn workforce of hazards	Safety warnings or observations regularly (weekly) communicated to supervisors via text or multi-media	Innovative use of multimedia to communicate health and safety with the workforce.
Employee & Supply Chain Engagement	Safety Committee meetings with Supply Chain	Monthly safety committee meetings held with regular attendance from all active members of the supply chain	Clear documented evidence of contributions from supply chain at safety committee meetings.	Health and safety committee meetings with supply chain result in identifiable actions to be implemented by the group.	Supply chain regularly chairs safety committee meetings.	At least one supply chain director attends the meeting each month.
	Reward and recognition for contribution to health and safety performance	Safety reward schemes in place for achieving specified milestones in accident free work	Monthly safety award / recognition scheme in place to reward excellent safety performance	Reward and recognition scheme in place for members of the workforce who demonstrate excellent performance or contribute to safety improvements	Reward and recognition scheme in place for members of the workforce - decision panel includes members of the workforce.	Reward and recognition schemes in place based around pro-active and prevention not reduced accident measures
	Operative led safety meetings to review and identify Health & Safety improvement - Safety Circle / Voice meetings etc.	Operative health and safety meeting held monthly - attended by members of the workforce	Operative health and safety meeting - agenda includes identifying top risks and empowering operatives to improve working methods	Operative health and safety meeting - agenda includes a review of safe behaviour	Evidence that operative health and safety meeting has resulted in improved working methods / workplace	Evidence that operative health and safety meeting has resulted in improved safe behaviours / hazard awareness / reporting
	Health and safety performance management across the Supply Chain	Health and Safety requirements including RtB documentation provided to all tier 2/3 suppliers prior to commencement on site.	Historic supplier performance is used to inform supplier selection process.	H&S performance measures agreed with supply chain prior to commencement on site	Monthly monitoring of supply chain safety performance carried out and recorded - high performers rewarded, poor performers challenged.	360 degree feedback with supply chain on performance in safety matters
	Health and safety performance informs selection / promotion	Compliance with health and safety policies is a condition of employment	H&S behaviour and performance forms part of employees selection and appraisal process	Feedback on employees H&S performance is included in annual development reviews	Health and safety competent and performance for an core element of employee promotion	Positive H&S behaviour and performance are included when considering employee recognition and salary increases.

Area						
Culture & Behaviour	Living the "Personal Safety Commitments"	Employees are issued with and sign up to adhere to the Personal Commitments at induction	Voluntary and demonstrable personal commitment. No Highways England inspection actions relating to non-compliance with personal commitments.	Use of just culture approach when enforcing compliance. Where actions relating to non-compliance with personal commitments are identified by the contract team appropriate consequences are taken.	Results from just culture approach are used to inform safety improvement plans. Trends from non-compliance with personal commitments are used to inform and influence safety improvement plans.	Employees apply personal safety commitments at home as well as at work. The contract can demonstrate sharing best practice regarding personal commitments with other Highways England contracts.
	Near Miss / intervention reporting promoted and visible action taken	Near Miss / intervention card/hotline reporting process available for use by everyone	Near Miss / intervention cards reviewed-you said/we did boards in place to provide feedback	Near Miss / intervention cards reviewed - individual feedback provided within 48 hours	Filtering of Near Miss / intervention cards to identify significant Near Miss events - Trend analysis	Formal investigations into significant Near Miss / intervention events with actions to prevent recurrence - lessons learned shared at briefings and with other sites
	Safety Culture Surveys undertaken periodically to inform safety improvement plans	Safety Culture Survey completed every year with data used to inform safety improvement plan	Safety Culture Surveys undertaken for each workplace. completed every six months with data used to inform safety improvement plan	Culture Surveys used to influence safety improvement programme	Culture Surveys repeated at regular (quarterly min) intervals and results used to influence safety improvement programme	Safety Culture Survey response exceeds 75% of employees
	Just culture where people understand the implications of their actions	Just Culture model established	Provision for positive and negative consequences are outcome is established. E.g. Training, mentoring, disciplinary arrangements	Significant incidents reviewed against a just culture (human failure) model to identify trends	Trends are analysed and used to determine appropriate actions to improve performance	All incidents subject to just culture review and action taken
	Open and timely reporting of incidents, learning and actions taken	All accidents resulting in an injury logged on site and in AIRSweb	Client representative informed on the day of a reportable or serious incident	Interim investigation report completed within one week of a reportable or serious incident	Invite Highways England representative as an integrated member of investigation team for reportable or serious incidents	Within three months root cause revalidated and lessons learned verified as embedded
Competent & Capable People	Competent Designers, designing for lifecycle safety	Process established for assessing the competency of designers for the task with evidence of company assessment obtained	Individual designers can demonstrate suitable qualifications and experience	Evidence of co-operation and co-ordination of design work with other designers and contractors	Lessons learned and feedback from site incorporated into future and on-going design	Designers fully integrated into Project Team and full co-ordination between designers, contractors and operating agents
	Accredited training and qualifications	90% of workforce has CSCS or equivalent card (complies with National Highways Sector scheme)	100% of workforce has CSCS or equivalent card	100% of workforce has CSCS or equivalent card 25% of workforce has NVQ in activity undertaken	100% of workforce has CSCS or equivalent card 50% of workforce has NVQ in activity undertaken	100% of workforce has CSCS or equivalent card 60% of workforce has NVQ in activity undertaken
	Inducted staff and workforce briefed daily before starting work	Staff and workforce attend project induction prior to being allowed on site including inductions for visitors	Daily pre-start briefings delivered routinely to 100% of 'at risk' population	Daily pre-start briefings delivered routinely to 100% of 'at risk' population and feedback from the workforce gained and closed out.	End of shift feedback and lessons learned routinely obtained from the work force (more than once per week) with lessons learned shared during daily briefing	Lessons learned from feedback are used to inform changes where necessary to procedures and information is shared with other sites
	Drugs and Alcohol tested and health screening and surveillance	Staff and workforce are subject to 100% Drug and Alcohol screening prior to being allowed on site.	Routine random and for cause drug and alcohol screening regime	Nurse available (resident or on site visiting) to treat minor injuries and carry out health surveillance	Health surveillance and wellbeing medicals available. Compulsory medicals for all high risk trades	Health surveillance and wellbeing medicals in place for all employees and Supply Chain
	Competent and trained supervisors and people	100% of supervisors meet United Kingdom Contractors Group (UKCG) requirements (Site Supervisors Safety Training Scheme (SSSTS) and leadership training	100% of supervisors meet UKCG requirements (SSSTS and leadership training) and have behavioural management training. Site accredited to the CITB National Skills Academy (If project size meets criteria)"	25% of Managers hold National Examination Board in Occupational Safety and Health (NEBOSH) Certificate/ Site Management Safety Training Scheme (SMSTS)	50% of operational Managers hold NEBOSH Certificate/ MSTs	100% of operational Managers hold NEBOSH Certificate/ MSTs. 50% of Managers have a discipline degree qualification.

Area						
Designing for safety	Relentless Hazard Elimination through Design	Compliance with CDM regulations with CDM-C fully involved in design review process.	Hazard Identification and elimination starts at preferred route selection	Client and maintainer fully involved in hazard elimination process and prepared to amend requirements to eliminate hazards	Key tier 2+ suppliers engaged and utilised at preliminary design stage to eliminate hazards	Hazard elimination integrated within design as a continuous full team-embracing process from preferred route selection onwards.
	Residual Construction and Maintenance Hazards Identified	Identified on Safety, Health and Environmental (SHE), box on drawings or in maintenance manual and maintenance philosophy prepared.	Client and maintainer fully engaged in identified and mitigating residual risks.	Contractor fully engaged in identifying and mitigating residual risk	Key tier 2+ suppliers engaged and utilised at preliminary design stage to identify and mitigate residual hazards.	Achieve a more comprehensive link and cross reference between Hazard Elimination schedule and (design) Residual Risk register.
	Planning and Designing for Safe Construction, Operation and Maintenance	Compliance with CDM regulations with CDM-C fully involved in design review process.	Highways England and maintainer review planning and design to deliver operational and maintenance (health and) safety	Contractor and Key Suppliers review planning and design to deliver construction (health and) safety.	Planning and design of temporary and permanent works delivered by integrated planning, design and construction scheme.	Safety drives planning construction sequence and design
	Appropriate Standards Selected and Clearly Communicated	Base Highways England / Industry standards utilised and communicated through AIPs and Design Input statements	Risks to Workers in deviating from standards identified, eliminated if possible and mitigated.	Amendments to Highways England / industry standards to reduce risks to road workers identified and implemented.	Changes to Highways England / Industry standards which affect worker safety performance monitored and results fed back to Highways England / Industry and toolkit	Holistic Decisions made in challenging standards to deliver improved worker and road user safety for less cost.
	Build ability reviews (designer/ contractor/CDM Co-ordinator) Include maintainability reviews	Build ability reviews involving designer, contractor and CDM Coordinator carried out	Clear evidence that Build ability reviews have resulted in design changes which improve health and safety	Client and Contractor fully involved in build ability reviews to ensure base client requirements challenged and amended to improve build ability.	Key Tier 2+ suppliers engaged with build ability at preliminary design stage	Build ability reviews integrated within design process to ensure review of all key design decisions from preferred route selection onwards.
Effective operating controls & procedures	Engaging Toolbox Talks and training	Established programme of toolbox talks in place that delivered routinely / after incidents (At least monthly)	Effective presentation training provided to those who deliver toolbox talks	Regular monitoring of those who deliver toolbox talks with feedback	Workforce contribute towards development and delivery of toolbox talks	Work force identify the topics and plan the delivery of toolbox talks / training
	Controls appropriate to site and activity-specific risks	Control measures identified in risk assessments with active involvement by workforce	Start of operation audits completed for all activities (at commencement) to review effectiveness of controls - point of work risk assessment carried out at start of work	Workforce actively review and provide feedback on control measures prior to work starting - point of work risk assessment carried out at start of work	Close of shift reviews that assess the effectiveness of the control measures and identify improvements and brief at following day briefing	Feedback from the reviews are used to inform the design and planning functions or effective controls for new designs and activities
	Comprehensive and effective risk assessments	Risk assessments undertaken by trained and competent individuals and signed off by authorised person. Project Top x Risks identified and communicated to workforce.	Risk assessment is a group process that includes site supervision. Workforce involved in developing control measures and methods of working	Risk assessments are reviewed after change in process or any incident (including near miss)	Risk assessments are subject to routine (monthly) review and new technologies and methods of working adopted. Evidence that Top x Risks have been reduced.	Feedback from the reviews are used to inform the design and planning functions or effective controls for new designs and activities
	Robust Safety Management System	SMS subject to in company independent audit. Compliance with Highways England Occupational Health and Behavioural Based Safety standards.	Audit schedule in place to provide regular audit of the compliance to the SMS and monitoring of the schedule undertaken by senior management.	SMS subject to 3rd party audit to confirm compliance	SMS certified to ISO 18001 (Includes compliance with all Highways England guidance)	SMS routinely benchmarked with organisations both inside and outside of the construction industry
	Advanced planning of works with appropriate change control	Safe systems of work in place before works commence for ALL operations	Clear change control process in place for authorising work to continue should unexpected change occur	Organisation conducts regular "what if" scenario's to test effectiveness of planned arrangements	Organisation conducts end of activity reviews to feedback into planning process and lessons learnt shared	Organisation conducts end of project reviews to feedback into planning process and lessons learnt shared

Area						
Audit & Performance management	Open and timely reports of incidents, learning and action taken	All incidents and near misses/interventions are reported on site, recorded and actioned in accordance with IAN128/12	All Hi Potential Incidents are investigated with the same level of rigour as RIDDOR incidents	All interim investigation reports completed within one week of a reportable or serious incident and AIRSWEB updated accordingly	Full incident investigation for RIDDORs and Hi Potential Incidents completed within one month	Lessons learned from all significant industry incidents and trends are effectively communicated to the workforce and delivery partner community. Where appropriate work practices are improved.
	Health and safety performance	Collect and analyse H&S performance data on a monthly basis to turn the data into management intelligence	Review your top health and safety risks (at least every six months) and update your risk register and communicate to the workforce.	Embed a H&S improvement programme that addresses the top risks, which is revised at least annually. Demonstrable evidence of workforce engagement in the improvement programme.	"Proactively engage and participate (e.g. working group member) in projects and/or initiatives to address the highways sector top risks. Demonstrable evidence that Top X Risks are reduced."	Proactively lead and manage projects and/or initiatives to address the highways sector top risks
	Achieving good scores from Highways England audits	More than 1 Red More than 2 Amber	No more than 1 Red More than 2 Amber	Zero Red No more than 2 Amber	Zero Red Zero Amber	Zero Red Zero Amber One or more Blue Star(s)
	Use of H&S Performance Indicators	Develop and implement an appropriate set of leading and lagging indicators for site (include key risk control measure, near miss/intervention reporting, safety tours, occupational health, incident frequency rates etc.)	Measure and review the indicators monthly and analyse the H&S performance.	Measure and review the indicators monthly and analyse the change in H&S performance. Develop an action plan to improve further the H&S performance.	Demonstrable evidence that the action plan has been implemented, reviewed and updated at regular intervals (at least quarterly)	Demonstrable evidence that project has made a positive difference to the health and safety performance of the site through the use of performance indicators
	Personal health, safety and wellbeing performance	All site personnel make a recorded personal health, safety or wellbeing commitment	All supervisors and above have a health, safety and wellbeing objective in their annual personal development review	Demonstrable evidence that supervisors and above have personal development objective(s) which are supported by appropriate training / coaching.	All supervisors and above maintain a continuous personal development plan, which evidences that their h,s &w knowledge and experience is both current and to an appropriate standard.	Demonstrable evidence that all personal h,s&w objectives have been met and they have had a positive effect on the health, safety and wellbeing performance of the site.