

ANNUAL REPORT & ACCOUNTS

1 April 2016 – 31 March 2017

Health and Safety
Executive for
Northern Ireland





Health and Safety Executive for Northern Ireland

Annual Report and Accounts

For the year ended 31 March 2017

Laid before the Northern Ireland Assembly under paragraph 19 (3) of Schedule 2
of the Health and Safety at Work (Northern Ireland) Order 1978 by the
Department for the Economy

29 June 2017



© Crown copyright 2015

You may re-use this information (excluding logos) free of charge in any format or medium, under the terms of the Open Government Licence v.2. To view this licence visit www.nationalarchives.gov.uk/doc/open-government-licence/version/2/ or email: psi@nationalarchives.gsi.gov.uk

Where we have identified any third party copyright information, you will need to obtain permission from the copyright holders concerned.

This publication is also available at <http://www.hseni.gov.uk>

Any enquiries regarding this document should be sent to us at Health and Safety Executive for Northern Ireland, 83 Ladas Drive, Belfast, BT6 9FR, Northern Ireland; Email: mail@hseni.gov.uk

HSENI

Our Values

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

Key Facts and Figures for 2016-17

Key trends in work-related injuries are as follows:

- fatalities up 33% to 16, compared to 12 in the previous year;
- fatalities in the agriculture sector remained the same with 6 fatalities in this sector as in the previous year;
- major injuries down 13% on last year and the lowest in the last five years; and
- all reportable injuries down by 12% on last year to 1680.

During the year, HSENI:

- continued its Farm Safety Partnership (FSP) work through the second Farm Safety Action Plan and the launch of the FSP Affiliate Scheme;
- reached over 7,800 children in 84 rural primary schools with its "Be Aware Kids" farm safety messages;
- involved 5,000 pupils from 100 primary schools in its Child Safety on Farms Poster competition and distributed 40,000 copies of the calendar produced from the winning entries;
- delivered, in conjunction with local councils, a health and safety initiative on safe skin;
- distributed over 2,200 copies of its new 'Be Safe When You Start' booklet aimed at young people entering the world of work for the first time;

- completed seven successful prosecutions, which saw fines totalling £100,500;
- achieved UKAS Accreditation for its Scientific Services Unit;
- delivered 5,999 inspections and served 144 formal enforcement notices;
- dealt with 1,680 reportable work-related injuries and 813 complaints about alleged unsatisfactory working conditions and activities;
- prepared eight sets of regulations, initiated consultations on three regulations and published one revised Approved Code of Practice;
- submitted an Annual Equality Report to the Equality Commission;
- organised six key events which attracted some 430 participants;
- held or attended 221 promotional events including seminars, lectures, workshops and presentations;
- distributed over 87,285 free publications giving health and safety advice;
- dealt with 5,119 calls for information via its freephone Helpline; and
- enabled website visitors to download over 94,052 publication files.

Contents

HSENI – Our Values	5
Key Facts and Figures for 2016-17	6
FOREWORD	8
PERFORMANCE REPORT	10
Performance Overview	10
Performance Analysis	13
Management Commentary	18
Communications	18
Partnership with District Councils	21
Scientific Services	22
Employment Medical Advisory Service	23
Agriculture and Food	26
Construction	28
Build Health	29
Extractive Industries	29
Major Hazards, Gas and Transport	31
Manufacturing, Utilities and Docks	33
Major Investigation Team	34
Public Sector	35
Mental Wellbeing at Work Advisory Service	38
Health and Safety at Work Legislation	39
Administration	40
Statistics	45
ACCOUNTABILITY REPORT	51
Corporate Governance Report	51
Directors' Report	51
Statement of Accounting Officer's Responsibilities	53
Governance Statement	54
Remuneration and Staff Report	62
Accountability and Audit Report	70
Funding Report	70
Certificate and Report of the Comptroller and Auditor General to the Northern Ireland Assembly	71
STATEMENT OF ACCOUNTS	73
Statement of Comprehensive Net Expenditure	74
Statement of Financial Position	75
Statement of Cash Flows	76
Statement of Changes in Taxpayers' Equity	77
Notes to the Executive's Accounts	78
APPENDICES	
Appendix 1: HSENI Organisation Structure	87
Appendix 2: Fatal Injuries	88
Appendix 3: Prosecutions	89

Foreword

We are pleased to present HSENI's eighteenth Annual Report and Statement of Accounts.

Overall, the total number of all work-related fatalities, including those within areas that are the responsibility of local councils, was 18 in 2016-17 compared to 13 in the previous year. We are disappointed this figure has risen and it underscores the importance of continuing to focus our efforts on industries such as farming and construction. There were small increases in fatalities in General Manufacturing (up from one to two) and in Health (up from one to three). The greatest cause of fatal accidents in the year remained falls from height, being struck by an object, and animals. Whilst it is reassuring to see no fatalities in other high risk areas such as the extractive industries, waste / recycling and gas / transport / utilities sectors, we know there can be no room for complacency.

Major Injuries fell in 2016-17 to 357 from 411 last year representing a 13% decrease. This is encouraging as this category often involves those injuries which are the most debilitating. This is the lowest level of major injuries in the five year period. There was an 11.7% decrease in reportable work-related injuries between 2015-16 and 2016-17 to a five year low of 1680. The 2016-17 figure reflects a 2.7% reduction on the 2012-13 figure of 1,725.

This year again underscored the importance of HSENI's focus on farm safety. There were six farm fatalities which was the same as 2015-16. Whilst we are disappointed this number has not decreased, it has maintained our steady progress from both the 2011 and

2012 calendar years when we recorded 12 farm deaths. Fatalities in the agriculture sector are down by 50% since the establishment of the Farm Safety Partnership in 2012, but there remains much to be done. Our vital work in the second Farm Safety Action Plan continues to make a major contribution towards raising awareness of the main health and safety issues facing the farming industry. We will continue to work to tackle the challenges which remain in the industry.

In 2016, as part of the ongoing Stop and Think SAFE campaign, a new television advert was produced highlighting the need for caution when working with animals on the farm. The advertisement features the possible aftermath of a farmer injured by the mother of a newborn calf. Sadly in this year we saw the most tragic consequences of this risk in the farming community.

We again gave prominence to young people entering the world of work for the first time. We distributed 2,200 copies of our 'Be Safe When You Start' booklet to this group who we know are at a higher risk of injury given their inexperience at work.

HSENI, in partnership with the 11 District Councils, focused on a number of issues including a campaign to raise awareness of work-related skin diseases such as dermatitis, and the importance of the "avoid, protect, check" approach to reduce the chances of suffering painful and sometimes debilitating skin conditions.

During the year, HSENI carried out 5,999 inspections of workplaces and served over 144 formal enforcement notices. HSENI's front line work in 2016-17 continued to be dominated by investigating a number of significant workplace incidents resulting in deaths and serious injuries, and dealing with a continuing high number of complaints about unhealthy and unsafe workplaces. Investigations by the Major Investigation Team resulted in seven successful prosecutions which led to fines totalling £100,500.

Like 2015-16, this year has been a year of considerable change within HSENI. We have restructured both operational divisions following the departure of a number of staff under the NICS Voluntary Exit Scheme. In April 2016 we also restructured Services Division. We have set up dedicated teams to handle complaints about workplace safety as well as a team to handle all our notifications. These changes have allowed us to provide a better customer interface while ensuring our inspectorate staff are supported to continue to deliver a first rate service.

2016-17 has been another difficult year in terms of the loss of experienced staff. Despite this we have deployed our resources into areas of work where we know they will have the greatest impact on preventing and reducing serious injuries and fatalities. Whilst we face continuing challenges in running our business, we are steadfastly focused on the importance of our work in stopping unsafe working practices and making work safer every day. We are grateful to all those who share our ambition to make Northern Ireland's workplaces as safe as possible.

Finally, George Lucas' term of Chairman of HSENI came to an end on 31 March 2017. We are enormously grateful for his leadership and drive, particularly on the issue of improving farm safety, and we wish him well in his future roles.



Keith Morrison
Chief Executive



Derek Martin
Chairman

Performance Report

Overview

HSENI, the regional health and safety authority for Northern Ireland, was established on 1 April 1999 as an executive Non Departmental Public Body (NDPB) with Crown status. This was brought about by an Order in Council amending the Health and Safety at Work (Northern Ireland) Order 1978. An executive NDPB has a role in Central Government but is not a Department or part of one. During 2016-17, HSENI was funded by the Department for the Economy (DfE).

HSENI's business is to ensure that risks to people's health and safety arising from work activity are properly controlled, in ways that are proportionate to risk, allow for technological progress and pay due regard to costs as well as benefits; and in all that it does, seeks to promote better management of health and safety at work, through systematic approaches to identifying hazards and assessing and controlling risks.

HSENI, subject to the DfE Minister, has primary responsibility under the above Order for the regulation of health and safety at work in Northern Ireland. This involves the proposing and setting of necessary standards and securing compliance with those standards and undertaking other forms of activity designed to stimulate or support necessary action on the part of people and organisations that actually create risk.

HSENI's strategy, as set out in its Corporate Plan for the period 2011 to 2015 (extended for two further years to include 2015-16 and 2016-17), derives directly from the long term strategy for the better regulation of health and safety at work in Northern Ireland, conceived and developed in partnership with HSENI's co-regulators, the Northern Ireland District Councils. The strategy spells out the shared vision, mission and goals that both HSENI

and the District Councils will abide by as each delivers its services and meets its targets in their respective enforcement environments.

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

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

This mission will be achieved by:

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

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

- to provide key workplace health and safety messages and communicate sensible workplace health and safety advice;

- to increase compliance with workplace health and safety requirements through inspection and investigation activities;
- to minimise an effective health and safety at work regulatory framework; and
- to provide the highest possible levels of corporate governance and service delivery to customers.

This year has seen HSENI continue to steer the course it set itself in its Corporate Plan. In the past year HSENI have undertaken significant restructuring across all three divisions to ensure our services were maintained following the loss of staff through the NICS Voluntary Exit Scheme.

The current Corporate Plan has delivered many achievements. Looking to the future we are in the process of developing our new Corporate Plan in which we will continue to build on the excellent and essential work to date. Our new Corporate Plan will be ambitious and challenging especially as it most likely will have to be delivered in a period of limited resources. Our focus will be in tackling and driving safety and health improvements in those industries and workplaces associated with the most serious and debilitating injuries and ill health.

Principal risks managed by HSENI during 2016-17 were as follows:

- Retention and availability of specialist/skilled staff;
- Failure to maintain an up-to-date regulatory framework;
- Failure to secure sufficient funding to maintain services;

- Damage to HSENI's Reputation;
- Third party financial loss or legal procedures being instigated;
- Failure to prevent and detect fraud and a failure to report suspected fraud; and
- Major disruption to business.

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

The financial results of HSENI are set out in the Annual Accounts. The net cost of operations (i.e. net expenditure) for the year was £6,338,000.

HSENI is committed to the prompt payment of bills for goods and services. In November 2008, in order to help local business in the worsening economic climate, Minister Dodds announced that Northern Ireland Departments and NDPBs were being set a target of ensuring that invoices for all businesses are paid within 10 days of receipt, regardless of payment terms. Quarterly analysis has indicated that, during the year, HSENI paid 91.2% of its invoices within 10 working days (2015-16: 99.7%). The 2016-17 figure for the 10 day target is lower than the previous year due to an IT issue which took a period of time to resolve. HSENI paid 99.8% of its invoices within 30 days (2015-16: 100%). This policy on prompt payment is expected to continue in the 2017-18 financial year.

The Statement of Accounts has been prepared under a direction issued by the Department for the Economy under the Health and Safety at Work (Northern Ireland) Order

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

This performance report provides a balanced and comprehensive analysis of the development and performance of HSENI's business during 2016-17 and includes the following sections on Performance through to Statistics. As regards financial performance, HSENI operated during 2016-17 within the budget allocated to it by its sponsor department, the Department for the Economy, and budget expenditure at year end was within the acceptable tolerances permitted by the Department of Finance.

While this performance report includes information on HSENI's employees and social, community and human rights issues, it does not include information about environmental matters.



K Morrison
Chief Executive
21 June 2017

Performance Analysis

This section details HSENI's performance against operating plan targets during 2016-17.

Promotion, Information and Advice

To promote key workplace health and safety messages and communicate sensible workplace health and safety advice.

Key Areas	Targets	Progress
Priority issues	The delivery of a multi-media Farm Safety campaign in line with the Farm Safety Partnership's (FSP) Action Plan 2014 – 2017.	Target Achieved Multi-media Farm Safety Campaign delivered as planned for 2016-17.
	To deliver the objectives set out in the FSP Action Plan (identified for HSENI) by March 2017.	Target Achieved Complete. All objectives delivered.
	Distribute 6,000 copies, including downloads, of HSENI's 'Be Safe When You Start' booklet to young people and students entering the world of work for the first time by 31 March 2017.	Target not Achieved 2,248 copies distributed at events and downloaded. HSENI did not target Freshers' Fairs this year due to competing work priorities.
	To support the Waste Industry's WISHNI meetings and Ambassadors forum.	Target Achieved WISHNI meetings held on 01.07.16, 08.09.16, 17.11.16 and 21.02.17. Ambassadors Awards held on 08.03.17.
	To promote health issues in Construction through BuildHealth.	Target Achieved Attended BuildHealth meetings on 07.06.16, 06.09.16, 06.12.06 and 07.03.17.
	To work in partnership with the District Councils in delivering joint working activity on priority topics and projects covering safe skin.	Target Achieved Campaign was launched in May 2016.
Vulnerable Groups	To deliver farm safety presentations to children in 80 rural primary schools on the health and safety issues around helping, working or playing on farms by 31 March 2017.	Target Achieved Presentations delivered to 84 rural primary schools.
	To exhibit at the CAFRE campuses to raise awareness and provide health and safety information to students by March 2017.	Target Achieved Exhibited at all CAFRE campuses.
	To run a school farm safety poster competition.	Target Achieved Competition run and winners' posters made into 2017 calendar.
	To design and print a child safety on farms calendar for 2017 and distribute to rural schools by 31 December 2016.	Target Achieved Calendar printed and distributed to rural primary schools.
Small Businesses	Through our business advisers, provide advice to 170 premises on health and safety issues specific to the business needs, priority areas and risks where appropriate.	Target not Achieved Business Advisers have provided advice to 148 businesses.

Compliance

To increase compliance with workplace health and safety requirements through inspection and investigation activities.

Key Areas	Targets	Progress
Priority issues	Undertake inspection initiatives focussing on particular health and safety risks in particular areas, including:	
	Prioritising inspection of activities which give rise to severe injuries or chronic ill-health.	Target Achieved Addressed as appropriate during the inspection programme.
	Those which are known to be key risks in the agricultural sector.	Target Achieved Addressed as appropriate during the inspection programme.
	Top tier and lower tier Major Hazards sites, to include key priority areas such as workplace health.	Target Achieved Addressed as appropriate during the inspection programme.
	Maintaining public awareness of carbon monoxide poisoning.	Target Achieved Addressed as appropriate during the inspection programme.
	Work-related health issues in the manufacturing/ construction/ and farming sectors.	Target Achieved MUD team addressed relevant occupational health issues and in particular the skin initiative.
	Commercial and council waste handling facilities.	Target Achieved Addressed as appropriate during the inspection programme.
	Asbestos removal operations.	Target Achieved Addressed as appropriate during the inspection programme.
Vulnerable Groups	Contributing to a joint HSENI/District Council 'safe skin' campaign.	Target Achieved Campaign was launched in May 2016.
	Ensure that the health and safety needs of vulnerable workers such as those having a disability, young workers (including school leavers entering the workplace for the first time), older persons and migrant workers, are addressed during all inspection and investigation activities where appropriate.	Target Achieved These areas were addressed where appropriate as part of the inspection programme.
Inspection (including Investigation)	Undertake at least 5,000 inspections across all work sectors for which HSENI is responsible, aimed at improving levels of compliance with health and safety standards.	Target Achieved 5,999 inspections completed during the year.
	All complaints about workplace health and safety standards will be investigated in accordance with HSENI's published procedure.	Target Achieved 813 complaints were investigated during the year.

Compliance cont'd

Key Areas	Targets	Progress
Inspection (including Investigation) cont'd...	All fatal incidents will be investigated.	Target Achieved All fatal incidents were investigated during the year.
	Continue to operate a quality management scheme and retain UKAS Accreditation for HSENI's Scientific Services by 31 March 2017.	Target Achieved Received UKAS re-Accreditation on 24.03.17.
Compliance/ Enforcement	All employers found to have an unsatisfactory level of compliance will be considered for enforcement action in accordance with HSENI's Enforcement Guidelines.	Target Achieved Forms part of the inspection programme. 65 Improvement Notices and 79 Prohibition Notices were issued during the year.
	Through a range of Working Groups, involving representatives from HSENI, HSE and the Republic of Ireland's Health and Safety Authority (HSA), HSENI will facilitate the sharing of information and best practice in areas such as construction, agriculture, extractive industries and major hazards during 2016-17.	Target Achieved A series of meetings were held on relevant areas throughout the year.
	HSENI will work in partnership with the NI Environment Agency to review and comment on 4 submitted safety reports for Top Tier COMAH sites by 31 March 2017.	Target Achieved Formed part of the inspection programme.
	During 2016-17, all case files will be presented to the Public Prosecution Service for Northern Ireland (PPSNI) in accordance with the Service Level Agreement in place.	Target Achieved All case files have been dealt with in this way.
	HSENI will publish information on HSENI's website relating to enforcement notices served and prosecutions taken on HSENI's behalf during 2016-17.	Target Achieved Prohibition and improvement notices published as planned.

Regulation

To maintain an effective health and safety at work regulatory framework.

Key Areas	Targets	Progress
Consultative and Discussion Documents	Publish timely Consultative Documents in relation to proposals for health and safety regulations and Approved Codes of Practice in numerous areas.	Target Achieved Consultations on three sets of regulations and three ACOPs completed. Development of six consultation documents under way.
	Ensure that 100% of proposals for the making of health and safety regulations required to satisfy EU Directives will be submitted to the Department within the time limits imposed by the originators of the requests.	Target Not Achieved One set of regulations submitted within time limit and one submitted, but delayed beyond target due to a number of complicating circumstances.
Health and safety Legislation	Develop health and safety regulations to cover numerous topics including: <ul style="list-style-type: none"> Equipment and Protective Systems Intended for Use in Potentially Explosive Atmospheres Regulations (Northern Ireland) 2016. The Mines Regulations (Northern Ireland) 2016. 	Target Achieved Three sets of regulations made, transposition of two European Directives as above and the Mines Regulations (Northern Ireland) 2016. A further two sets have been finalised but their making was delayed due to current political situation. For those specifically named: <ul style="list-style-type: none"> Draft Regulations cleared by legal adviser but delayed due to current political situation. Regulations were made on 13 December 2016.
Approved Codes of Practice and Guidance	Develop and submit Codes of Practice for consent by the Department and approval by HSENI providing guidance and advice on numerous areas.	Target Achieved Submission made to former Minister in relation to approval, for use in Northern Ireland, of three HSE Codes of Practice. Further submissions to new Minister required. Former Minister approved withdrawal of approval for one HSE Code of Practice. Latest advice from DfE's Central Management Branch indicates that arrangements can now be made for withdrawal of approval.

Other Corporate Targets

To provide the highest possible levels of corporate governance and service delivery to customers.

Key Areas	Targets	Progress
Health, safety and welfare	During 2016-17, quarterly health, safety and welfare inspections to be carried out by Premises Officer and NIPSA Trade Union Safety representative and reports made available to staff.	Target Achieved Regular building inspections undertaken – led by member of SMT.
Policy development	Submit an Annual Report to the Equality Commission on the implementation of HSENI's actions under equality and disability duties by 31 August 2016.	Target Achieved Report submitted 1 September 2016
	Draft a new Corporate Plan covering the period 2016 – 2021.	Target Not Achieved Work has commenced but awaiting 2017-18 onwards budget allocations.
Human resources	Analyse the feedback from the 2015 Staff Attitude Survey and identify and implement appropriate actions by 31 March 2017.	Target Not Achieved Feedback has been analysed in report form and sent to SMT/ staff. SMT considering areas for action and internal mechanisms required.
	Develop HSENI's Learning and Development Plan for 2016-17 by 31 October 2016.	Target Not Achieved Put on hold due to competing staff priorities (NB: Staff training as per PDPs was completed).
Corporate Governance and Risk Management	Support the quarterly meetings of HSENI's Audit and Risk Management Committee during 2016-17, in its task of seeking assurances on the corporate governance and risk management processes and procedures within HSENI.	Target Achieved ARMC continues to meet every quarter.
	Undertake a desk-top exercise by 31 March 2017, in light of proposed changes in accommodation, to refresh staff's understanding of their roles and actions required as part of HSENI's Business Continuity Plan.	Target Not Achieved Due to competing staff priorities.
	Monitor service delivery targets to ensure that the standards set out in HSENI's Customer Care Charter are being met by 31 December 2016.	Target Achieved Customer care exercise completed week commencing 5 December 2016. A report on findings from the exercise was submitted to SMT for review.
	Publish minutes of all HSENI Board and Senior Management Team meetings held during 2016-17 on HSENI's website.	Target Achieved All minutes are published on the HSENI website.
Financial	Publish an Annual Report and Statement of Accounts for 2015-16 by 30 September 2016.	Target Achieved Annual Report and Statement of Accounts published on 13 October 2016.
	Prepare, finalise and lay before the Assembly, HSENI's Statement of Accounts for 2015-16 before the summer recess of 2016.	Target Achieved Accounts could not be laid before the summer recess due to the requirement on this year's FReM to lay published hard copy reports. The accounts were laid on 13 October 2016.

Management Commentary

Communications

Communication is an essential aspect of health and safety and an integral part of HSENI's daily work programme. Promotion of occupational health and safety information to targeted groups, through communication channels that include campaigns, publications, seminars, workshops, exhibitions, web activity and social media help to raise awareness of key issues in order to prevent and reduce future occurrences of work-related injuries and ill health.

Partnership working is crucial to HSENI and we continue to work alongside other well placed organisations in areas such as construction (BuildHealth), waste and recycling (WISHNI) and farming (the Farm Safety Partnership). Partnership working in these areas enables us to reach a wider targeted audience than HSENI would be able to on its own.

HSENI, through the Farm Safety Partnership (FSP), launched the Farm Safety Partnership Affiliate Scheme in July 2016. This scheme has allowed HSENI to partner with a range of private, public and voluntary organisations working within and alongside the farming community to help promote life-saving farm safety messages.



Pictured are representatives from the 14 organisations awarded Farm Safety Affiliate status during Farm Safety Week 2016. The 14 organisations from within the commercial, educational and voluntary sectors are ABP Group, AES UK & Ireland, Asda, Danske Bank, Glens of Antrim Potatoes, Girlguiding Ulster, Lakeland Dairies, Livestock & Meat Commission Northern Ireland, PowerNI, Rural Development Council NI, Ulster Bank and the Ulster University School of Nursing

FSP Affiliate organisations have pledged to use their position and resources to promote the farm safety message. This has included sponsorship of the Avoid Harm on the Farm 2017 calendar by a number of the Farm Safety Partnership (FSP) Affiliate organisations, ABP Group, AES UK & Ireland, Asda, IOSH and the Northern Ireland Safety Group.



Pictured at the launch of the 2017 Avoid Harm on the Farm child safety on farms calendar from left to right are Portaferry Integrated School Principal, Mrs Dorothy McKeating, HSENI Chairman, George Lucas, and first place winner of the foundation poster category, Timmy McWhinney

During 2016-17, HSENI's Communications Team organised the following key events, in partnership with Inspectorate staff, attracting 430 participants:

- Asbestos Updates Seminar, 22 March 2017 at Templepatrick;



Chief Executive, Keith Morrison, addressing the audience at the Asbestos Seminar held at the Hilton Hotel, Templepatrick.

- Awards for 2017 Waste Management Ambassadors, 8 March at the Dunsilly Hotel in Antrim;



Award winners from the WISHNI event held at the Dunsilly Hotel, Antrim.

- BuildHealth Drugs and Alcohol Seminar 1 December 2016;
- Extractive Industries All-Island Seminar 18 October 2016;
- Farm Safety Partnership Affiliate launch 5 July 2016; and
- BuildHealth Wellness Workshop 29 April 2016.

During 2016-17, HSENI either held or attended 221 promotional events including seminars, lectures, workshops and presentations.

Child Safety Week was held from 13-17 June 2016. The week builds on the ongoing child safety on farms' campaign run by HSENI and is supported by the members of the Farm Safety Partnership. During the week in June, a new app called 'Farm Secure', developed by students at Ulster University's School of Nursing, was launched. Sponsored by the Farm Safety Partnership (FSP), the free app is aimed at primary school children and features videos and an interactive quiz.



Pictured are HSENI's Julie Leatham and headmaster Paul Smith with some of the children who participated in a child farm safety visit during Child Safety Week at Upper Ballyboley Primary School, Ballyclare

HSENI's Communications Team continues to assist employers, employees, trade union representatives, safety professionals and practitioners and members of the public requiring help or information on health and safety matters.

The one-to-one Advisory Service, which allows customers to speak to a Duty Inspector who can give advice on all aspects of health and safety in the workplace, on a confidential basis if necessary, responded to 5,119 requests. This service is accessed through HSENI's freephone Helpline on 0800 0320 121.

The Communications Team is responsible for HSENI's PR and marketing function, ensuring that key workplace health and safety messages are promoted in an appropriate and timely manner to targeted groups through a variety of communication channels.

The Communications Team activities include:

- developing and promoting campaigns, including advising on the creative, messaging and media strategy of the high profile farm safety TV adverts that feature as part of the ongoing Stop and Think SAFE campaign;

- drafting and issuing news releases to media outlets;
- promoting a range of events and seminars for HSENI, including assisting in the development and organisation of HSENI's annual Balmoral Show stand;
- managing content on the HSENI website;
- managing and developing HSENI's social media channels; and
- developing and advising on HSENI's suite of corporate and sector specific publications and liaising with communication partners to enhance key messages.

Throughout the year, HSENI:

- distributed over 87,285 free publications giving health and safety advice;
- dealt with 5,119 calls for information via its freephone Helpline; and
- enabled website visitors to download some 94,052 publication files.

The Communications Team assisted in the delivery of the HSENI stand at the Balmoral Show in May 2016 and promoted the fourth Carbon Monoxide Awareness Month in November 2016. Throughout the month the Communications Team issued a news release and also posted and shared targeted carbon monoxide themed safety messages via HSENI's social media channels to help raise awareness of the potential dangers from this toxic gas.

HSENI's social media channels continue to play a significant part in promoting workplace health and safety messages. Engaging with key industry organisations provides a good basis for promoting shared safety issues. HSENI Twitter followers now exceed 1,920 and we have attracted 1,570 likes on our Facebook account. During 2016-17, views to HSENI's YouTube videos reached more than 146,500.

The fourth video in our series of farm incident survivor stories by Wallace Gregg was launched in July 2016 and has so far received over 22,900 views on our Youtube channel.



Wallace Gregg from County Antrim and former president of the Young Farmers' Clubs of Ulster (YFCU) shares how his eight year old son was injured in an accident, highlighting the dangers to children on farms

HSENI and the 11 Councils in Northern Ireland partnered to deliver a health and safety initiative focusing on safe skin. It commenced in April 2016 and the organisations involved visited businesses to ensure that, where appropriate, workers are given information, training and equipment to protect skin from workplace hazards.



Pictured launching the new drive to promote skin safety at work are Senior Environmental Health Officer at Belfast City Council, Trudy Stanfield, and HSENI's Deputy Chief Executive, Louis Burns

Partnership with District Councils

HSENI, in partnership with the 11 District Councils, focused on a number of issues including a targeted campaign to raise awareness of work related skin conditions. The campaign was called "Safe Skin" and included two information sheets, one focusing on sun safety for outdoor workers and the other on work related dermatitis.

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

Eleven Councils were established on 1 April 2016 as a result of restructuring but despite this, the Councils remained firmly committed to delivering on the joint strategy.

The joint strategy entitled 'Health and Safety at Work – Protecting Lives, Not Stopping Them' was launched by the then Enterprise, Trade and Investment Minister, Arlene Foster in February 2011, and defines 10 specific goals, which act as a blueprint for joint working, planning and sharing of resources/expertise over the next decade and beyond. The strategy underlines the commitment of HSENI and the Councils to achieve better efficiency and a more effective co-ordinated approach to the regulation of health and safety at work.

The strategy is delivered through a three tiered approach to partnership working. Overseeing the partnership work is the Health and Safety Executive/Local Authority Enforcement Liaison Committee for Northern Ireland (HELANI), which meets three times per year. The Committee has a strategic input into the work of the partnership as well as monitoring progress of joint working. The second tier is the Planning and Development Group which

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

2016-17 saw the continuation of a focused review of joint HSENI – Council working to help ensure that the new local and central government structures can best deliver on the wide range of work-related health and safety issues.

Safe Skin

'Safe Skin' was made a joint working priority in 2016-17 with the rationale that work-related skin problems are very common and can happen in most workplaces. They can be very costly, not just through the suffering individuals experience, but also because they can be a burden on employers who are left with sickness absence, recruitment, training and compensation expenses.

The campaign successfully raised awareness of the issue through a range of targeted activities. Press releases were developed and distributed by both HSENI and the Councils, focusing on the measures that should be taken to prevent work related skin conditions. Two information sheets were developed containing important information related to work related dermatitis and sun safety for outdoor workers.



Safe Skin information leaflet

Over 2,000 HSENI and Council inspections raised the issue of safe skin. Businesses were directed to the website www.hseni.gov.uk/safeskin where further information could be obtained.

Gas Safety Regulators Group

The Joint HSENI and Local Authority (LA) Gas Safety Regulators Group continued to meet regularly during 2016-17. The group shared knowledge on a range of gas topics, including safe gas storage and safe installation of gas equipment, and in doing so helped to promote consistency and good practice in gas safety regulation. The group also enhanced technical knowledge and encouraged consistent enforcement through delivery of a "Gas Safety for Catering" training session for 50 Council Environmental Health Officers.

Throughout 2016-17, all of the district council and HSENI staff involved in the various joint working groups, continued to work hard to consolidate a better approach to health and safety regulation. By using the joint strategy as a framework and by working together, the partnership approach has facilitated better regulation for all concerned.

Scientific Services

Scientific Services provides both investigative support and advice and information to the Inspectorate and provides general advice to the public on asbestos issues via the Asbestos Advisory Service.

The team, consisting of four scientists and one engineer, has a wide range of skills and experience in the areas of occupational hygiene, asbestos, metallurgy, and engineering and regularly assist with investigations.

Scientific Services is accredited to ISO 17025, the International Standard, for General requirements for the competence of testing and calibration laboratories. Accreditation is a

legal requirement for laboratories undertaking the analysis of asbestos in bulk materials and the monitoring of asbestos fibre in air.

Independently audited by the United Kingdom Accreditation Service (UKAS), Scientific Services successfully maintained its accreditation in January 2017 following a full re-assessment of its scope which includes asbestos, measurement of airborne dust exposure and the assessment of the effectiveness of local exhaust ventilation systems, in controlling exposure hazardous dusts and vapours. The Laboratory also gained UKAS accreditation for a new procedure, (asbestos water absorption test) used to determine whether an asbestos material requires a License to work on it.

Asbestos related activities remains a major part of the section's work, in particular the examination of sites where asbestos has not been removed prior to demolition or refurbishment or where inappropriate work methods have been used. Work undertaken without controlled removal of asbestos can result in significant exposures to asbestos fibres for workers which may result in fatal disease many years later. The cost of clean-up and decontamination of an area and plant is also greater when controlled removal has not been put in place.

A significant number of visits were made to demolition sites or refurbishment sites where inadequate or in some instances where no surveys had been carried out. A number of the surveys were reviewed for compliance with the guidance set out in the Surveys Guide and an overview of the findings was given at the Asbestos Industry Seminar in March 2017.

Respirable crystalline silica can cause debilitating respiratory disease and has been identified by the World Health Organisation (WHO) as a carcinogen. Investigation of exposure to silica continued in the quarrying industry where assessment was carried out at the crusher plant operators and associated

activities. The results to date have shown that exposures exceeded the workplace exposure limits and that silica remains an issue in the quarry, construction and stone masonry sectors. Adequate control can be achieved using suitable combinations of measures such as water suppression of dust, air-conditioned vehicles, enclosed cabins and respiratory protection (dust masks). The findings were presented at the Extractive Industries (All Island) Seminar in November 2016.

Engineering also accounted for a significant proportion of the effort. The types of investigations were diverse and included the examination of telehandlers, patient hoists, oxy-flame torches, quarry machinery, storage racking, quick hitches, lifting accessories, work platforms and playground equipment.

The examination of equipment and tools, involved in workplace incidents can provide important information on the sequence of events leading up to the incident and whether the condition of the equipment may have contributed to the incident or whether the equipment was suitable for the purpose.

Aerial photographic surveys of quarries were carried out using the drone (UAV-unmanned aerial vehicle) to gather information on the condition and stability of the rock face which would not normally be accessible.

Employment Medical Advisory Service

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

under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland) 1997 (RIDDOR), facilitates the appointment and approval of doctors under statutory requirements, and oversees first aid at work training organisations.

First Aid at Work (FAW)

Sixty organisations are currently approved by HSENI to provide first aid at work training. In the period 1 April 2016 to 31 March 2017 one company withdrew. The total number of courses run and certificates issued for first aid at work (FAW), first aid at work refresher (FAWR) and emergency first aid at work (EFAW) were submitted to HSENI via the annual return questionnaire as stated in Table 1.

Table 1

Total number of FAW courses run	508
Total number of FAW certificates issued	4356
Total number of FAWR courses run	364
Total number of FAWR certificates issued	2842
Total number of EFAW courses run	1088
Total number of EFAW certificates issued	9848

CCEA Regulation recognised awarding organisations

Responsibility for the regulation of vocational qualifications in Northern Ireland passed from Ofqual to CCEA Regulation in May 2016. Awarding organisations that were recognised by Ofqual on that date are now recognised by CCEA Regulation. HSENI will also continue to recognise, subject to specified conditions, First-aid at Work (FAW) and Emergency First-

aid at Work (EFAW) as nationally recognised and accredited qualifications from training providers of CCEA Regulation recognised awarding organisations. HSENI's endorsement of a declaration from a CCEA Regulation recognised awarding organisation regarding its provision of regulated FAW and EFAW qualifications in Northern Ireland means HSENI's approval of those qualifications (subject to the declaration's conditions) for the purposes of the Health and Safety (First-Aid) Regulations (Northern Ireland) 1982.

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

HSENI went out to consult on the amendments to The Health and Safety (First-Aid) Regulations (Northern Ireland) 1982 on 18 March 2016. The proposed changes will amend regulation 3(2) of the 1982 Regulations to remove the requirement for HSENI to approve the training and qualifications of appointed first-aid personnel.

It is also proposed to withdraw the Northern Approved Code of Practice "First-aid at work - The Health and Safety (First-Aid) Regulations (Northern Ireland) 1982" and to replace it with the guidance issued by the Health and Safety Executive in Great Britain. The necessary approval regarding deregulation in Northern Ireland has not been secured and interim arrangements for HSENI FAW training providers are currently in place.

Appointed Doctors

HSE GB carries out appointments, renewals and reviews of Appointed Doctors on behalf of HSENI.

HSENI (via HSE GB) appoints doctors under the Regulations stated in Table 2 below. It also sets standards for their qualifications and for the conduct of the specific assessments and examinations. All doctors are the subject of periodic review. In 2016-17, three doctors were appointed, two tendered their resignation

and one doctor withdrew, bringing the current total to seven NI-based appointed doctors, two of whom hold dual regulation appointments. Four additional doctors are based in GB carrying out medical surveillance under HSENI regulations.

During 2016-17, appointed doctors based in Northern Ireland carried out 205 statutory medical examinations. Details of the Regulations and the examinations are contained in Table 2.

Table 2

Regulations	Number of examinations 2016-17
Control of Lead at Work Regulations (NI) 2003	24
Control of Asbestos Regulations (NI) 2012 (Returns for NI-based ADs only)	148
Control of Substances Hazardous to Health Regulations (NI) 2003 – as amended	22
Ionising Radiation Regulations (NI) 2000	11

HSENI Approved Medical Examiners of Divers (AMEDs)

Approved Medical Examiners of Divers are also appointed by HSENI (via HSE GB) under the Diving at Work Regulations (Northern Ireland) 2005. HSENI has adopted the Guidance on Fitness to Dive developed by the Health and Safety Executive in Great Britain as its standard. These doctors are required to undertake specific training in diving medicine and to have this updated periodically. Standards are also set for the calibration of the equipment they use and all doctors are the subject of review by HSENI (via HSE GB). In 2016-17, HSENI's five Approved Medical Examiners of Divers conducted 112 "fitness to dive" assessments.

Reported Diseases 2016-17

Under the RIDDOR Regulations, HSENI received 28 reports of diseases. There were 10 cases of hand-arm vibration syndrome; one case of carpal tunnel syndrome; eight cases of occupational dermatitis; four cases of traumatic inflammation of the tendons; three cases of occupational asthma and two cases of ringworm. These cases came from 13 different employers.

Deaths caused, or contributed to, by Asbestos-Related Diseases

Table 1: Asbestos-related deaths in Northern Ireland 2012-2016

Registration Year	Primary/secondary cause			All primary or secondary cause
	Mesothelioma without asbestosis	Asbestosis* without mesothelioma	Mesothelioma and asbestosis*	
2012	48	13	1	62
2013	41	19	1	61
2014	39	22	2	63
2015	43**	24	3	70
2016	TBC			

* For certain years these figures also include a small number of other asbestos related chest diseases and pulmonary fibrosis where there was coexisting asbestos exposure

** In 2015 there are two mesothelioma cases included that were abdominal and testicular related.

*** Figures supplied by Demographic Statistics, Northern Ireland Research and Statistics Agency (2016 figures not available until July/August 2017)

Table 2: Asbestos-related deaths in Northern Ireland 2012-2016: where asbestosis or mesothelioma are coded as the primary cause of death

Registration Year	Primary cause		
	Mesothelioma	Asbestosis*	All primary cause
2012	48	4	52
2013	40	8	48
2014	41	8	49
2015	44**	3	47
2016***	TBC		

* For certain years these figures also include a small number of other asbestos related chest diseases and pulmonary fibrosis where there was coexisting asbestos exposure
 ** In 2015 there are two mesothelioma cases included that were abdominal and testicular related.
 *** Figures supplied by Demographic Statistics, Northern Ireland Research and Statistics Agency (2016 figures not available until July/August 2017)

Agriculture and Food

The agriculture sector in Northern Ireland consists mainly of family farm businesses and a sizeable proportion of those involved in the industry have jobs outside the farm business. The agriculture industry employs 47,712 people who work on 24,528 farms. Approximately 55% of farmers are classified as being employed full-time on their farm with over 75% of farms being classified as very small – less than 9.9ha (24.5 acres) in size (statistics taken from the Department of Agriculture and Rural Development –The Agricultural Census in Northern Ireland – June 2016). In general the whole agricultural industry continues to suffer from depressed incomes due to poor prices.

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

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

- A 53 year old self-employed farmer was killed by a bull on his home farm. It appears that the farmer was moving the bull across the open yard when it attacked him. The incident occurred on the 23 April 2016.
- A 57 year old farmer was found dead on his farm on the 30 June 2016. It appears that the farmer was facing a hedge with a chainsaw when he stumbled and he was struck by the chainsaw.
- A 30 year old farmer's son died when his clothes were caught up in a combine harvester. The incident occurred on the 11 September 2016.
- A 52 year old farmer was found in a slurry tank on his home farm near Coagh on the 14 October 2016.
- A 73 year old farmer's wife was killed whilst helping her 82 year old husband move 2 cows with young calves from a field beside the home farm stead to a cattle shed. The cows became agitated and one of them attacked the lady, knocking her down onto the concrete yard. The incident occurred on the 19 October 2016.

- A 75 year old farmer died in an incident on his home farm. It appears that the farmer was trying to separate a bull from a herd of cows when the bull attacked. The incident occurred on the 28 March 2017.

Promotional and Educational Activities

The series of farm accident survivor stories on YouTube have proved to be particularly popular. A new survivor story was produced explaining how Wallace Gregg's son, James fell from a moving tractor and suffered serious injuries to his head. Thankfully, James made a full recovery following this potentially life threatening accident. James and Wallace's story has been viewed almost 26,000 times on YouTube.

Miriam Parker, a world renowned livestock handling specialist, delivered an animal handling workshop in the autumn of 2016 at Markethill Livestock Mart and the farm of Ian Marshall. Miriam's presentation was superb and received numerous extremely positive comments from the invited audience. A video of the workshop was placed on YouTube.

In February 2017 a new TV advert was filmed on the farm of Brian and Lynne McCracken. The new advert focused on the danger of working with a cow around calving time. The new advert is due to be launched and shown at the 2017 Balmoral Show.

Child Safety on Farms

During the year 84 rural primary schools were visited by staff from HSENI who made presentations on farm safety to children in Foundation level, Key Stage 1 and Key Stage 2. Over 7,800 pupils received important messages regarding farm safety during these talks.

HSENI's 'Be Aware Kids' Child Safety on Farms Campaign continued during the year. A primary school poster competition, organised by HSENI, was run during the

spring of 2016. 5,000 pupils from 100 primary schools submitted posters to the competition. The twelve winning entries were used to produce a Child Safety on Farms calendar for 2017. 40,000 calendars were produced and these were distributed (through rural primary schools) to ensure that a calendar was delivered to every rural home in Northern Ireland which has children of primary school age.

HSENI staff attended eight 'Bee Safe' events across Northern Ireland. These events were organised for primary school children as part of a multi-agency community safety initiative which gave children the chance to learn some key safety messages. Through this program staff delivered interactive farm safety presentations to over 4,000 Primary 7 pupils. Thankfully, during the year there were no work related child fatalities on farms in Northern Ireland during the period of this report. However, there is no room for complacency and HSENI, along with its campaign partners, are committed to continuing this important campaign into 2017-18.

Balmoral Show 2016

HSENI's involvement in the Balmoral Show in 2016 focused on the safe operation of quad bikes and the safe operation and maintenance of chainsaws. Practical demonstrations of each of these topics were delivered throughout the three days of the show. HSENI's stand focused on child safety and encouraged members of farmer's families to encourage farmers to look after their own safety. HSENI also supported the Young Farmers' Clubs of Ulster (YFCU) by assisting with the organisation and judging of a safe tractor handling competition.

Promotional work

HSENI considers the dissemination of practical health and safety information to the industry as extremely important and has delivered numerous presentations to farmers'

groups, students at CAFRE Colleges and other relevant groups during the year. Farm health and safety ambassadors from the Ulster Farmers' Union (UFU) and particularly the Young Farmers Clubs of Ulster (YFCU) have been involved in the delivery of important health and safety information to the farming community.

Farm Safety Partnership

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

Food and Drink Processing Industry

The food and drink processing industry employs approximately 23,557 people across the industry.

During the year staff from the agri-food team undertook over 200 inspections of food and drink manufacturing and processing companies. The inspections focused on the main health and safety issues including: maintenance activities, vehicle movement, work at height, management of asbestos, machinery guarding, training of workers, vulnerable workers and health issues relevant to the company. Business advisers from the agri-food team carried out two very successful programs to offer advice to owners and managers of bakeries and micro-breweries on how to manage health and safety more effectively. The initiatives focused on the main health and safety issues facing the two industries.

Construction

HSENI'S construction inspectors continued to observe an increase in building activity in 2016-17 and this can be seen by the increasing number of cranes on the Belfast skyline.

Sadly in 2016-17 there were three fatalities in construction and this is one more than the previous year. Every death is one too many and zero fatalities, as was achieved in 2009, has to be the industry objective.

From analysis of the major injury accidents in construction, the main cause of these is still falls from both low and high distances and this has not changed from previous years. It is the common experience of all construction inspectors that some contractors and self-employed persons in this industry still continue to take shortcuts which expose their workers and themselves to avoidable and unacceptable risks. Reducing the number of injuries and deaths, including those resulting from falls, in order to help prevent the devastating effect these kinds of accidents have on the lives of workers and their families is a priority for HSENI.

Ill-health in the construction industry also has a financial cost for all those involved and the business case for improving performance is absolutely clear. The legacy of previous asbestos exposure continues to make asbestos related disease the biggest workplace killer. HSENI continues to raise the profile of health during site visits focusing on asbestos, respirable crystalline silica dust and manual handling. During inspections the requirement for face fit testing for all tight fitting Respiratory Protective Equipment (RPE) has been discussed. HSENI continues to ensure that welfare facilities are present on site and are suitable.

During 2016-17, a number of articles were placed in relevant media publications and the topics included cranes, quick hitches and excavation safety.

Asbestos

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

On 22 March 2017, a very successful seminar was held in Antrim, targeting the licensed asbestos removal contractors and provided an update on all aspects of working with asbestos with speakers from the Asbestos Licensing Unit in Edinburgh, Marks & Spencer and HSENI's Scientific Services group. The seminar was attended by approximately 165 delegates.

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

Other Promotional Activities

During 2016-17, HSENI continued to work in partnership with a number of key stakeholders in order to promote important health and safety messages to the construction industry. Such collaboration included:

- Cross border liaison with the Health and Safety Authority (HSA) construction team;
- Speaking at industry led seminars e.g. Institute of Civil Engineers (ICE) and NI Safety Group; and
- Membership of industry panels and forums such as ICE and the Industrial Liaison Panel (ILP) (at University of Ulster).

BuildHealth

The BuildHealth initiative continues to build on a successful past with six new companies joining in 2016-17. It is very encouraging to see the industry being proactive in improving the health of the workforce and especially encouraging to see the mentoring role carried out by the larger companies with their sub-contractors. A very successful BuildHealth seminar was carried out jointly with the Institute of Occupational Safety and Health (IOSH); it was based on the management of occupational health and featured three separate breakout groups led by industry representatives. Each company

chose one of these to attend based on their current level of knowledge and gained some new perspectives to consider in their own workplace.

For details of the BuildHealth initiative and events please visit the BuildHealth website at www.buildhealthni.com.

Extractive Industries

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

Exploration Drilling

A deviated exploration borehole was drilled at Woodburn Forest to explore sandstones in Triassic, Permian and Carboniferous aged geological groups for hydrocarbon content. The borehole was abandoned in compliance with the Oil and Gas UK 'Guidelines for the Suspension and Abandonment of Wells'.

Inspectors continue to attend appropriate training and information events so as to keep their knowledge up to date.

Concrete Industry

Inspection activities continue to be carried out in the concrete industry. Workplace transport, machinery guarding, isolation and safe maintenance continue to be the top priorities.

Mining Industry

Activity continues within the mining industry in Northern Ireland. In April 2016, two Inspectors from the group attended the Midland Institute of Mining Engineers Safety Seminar in Sheffield.

A representative from HSENI attended the 22nd Meeting of the European Heads of State Mining Authorities in Bucharest, Romania, at which they delivered a presentation to delegates on the current mining industry in Northern Ireland.

HM Inspectors of Mines in Great Britain continue to provide technical support to HSENI on mining activities and have been involved in inspections of all the mine workings in Northern Ireland.

Abandoned Mines

The Department for the Economy (DfE) has responsibility for abandoned mine workings in Northern Ireland. There are approximately 2,000 abandoned mine workings. The DfE has formed the Northern Ireland Mines Oversight Committee in order to manage these abandoned mine workings. Throughout 2016-17, HSENI provided specialist advice and technical support to this working committee in relation to the safety aspects of abandoned mines management.

Quarry industry

HSENI's inspection priorities for 2016 were shared with the Quarry Products Association for Northern Ireland (QPANI).

HSENI, with the support of QPANI and the Institute of Quarrying, organised a series of workshops held at quarry premises targeting quarry vehicle safety, where brake testing of quarry vehicles was one of the main issues covered. These workshops were attended by quarry managers and those responsible for operating and maintaining quarry vehicles. Seven workshops were held with 105 delegates attending. The Institute of Quarrying award two hours continual professional development to each delegate.

During 2016-17, the Health and Safety Authority (HSA) and HSENI held two cross border meetings to discuss standards within the Extractive Industries and share statistics.

On 18 October 2016 the All-Island Conference for the Extractive Industry was held in Armagh. This conference was organised by HSENI in partnership with the HSA, Institute of Quarrying, Irish Concrete Federation, Quarry Products Association Northern Ireland and the Irish Mining and Quarry Society. The conference was attended by over 130 delegates from the quarry and concrete products industry and provided essential information on best practice for the industry.

Explosives and Fireworks

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

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

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

Planning Consultations

During 2016-17, HSENI continued to liaise with the 11 local councils over planning issues related to quarries and major hazards.

Waste Industry

The Northern Ireland waste sector by its very nature is not without risk and continues to face many challenges as a result of serious workplace incidents. Target areas for inspection have been established and include workplace transport, vehicle all round visibility, welfare facilities, safe operation of roll on roll off skips and machinery guarding, isolation

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

In 2016-17, in association with the Northern Ireland Environment Agency, HSENI joined the stakeholder group to provide advice on the remediation of the Mobuoy Road, an illegal landfill site in Londonderry.

A joint initiative with the Chartered Institute for Waste Management (CIWM) saw, for the third year running, an award recognising good practice in safety management presented at the Sustainable Ireland Awards.

On 29 March 2017, HSENI exhibited and also delivered a presentation on vehicle all round visibility at the CIWM annual conference which was held at the Eikon Centre, Lisburn. This event was attended by over 700 delegates.

Waste Industry Safety and Health Forum (WISHNI)

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

The fourth annual Ambassador Awards presentation took place at the Dunsilly Hotel, County Antrim on 8 March 2017. Newly appointed Ambassadors were recognised for health and safety best practice and a willingness to engage with other businesses to help improve standards within the industry. Three new organisations and six returning Ambassadors were recognised at the awards ceremony. An additional award category this year was for 'Student Ambassador' which was co-sponsored by a private waste company. The successful student, an Environmental Health undergraduate from Ulster University,

was recognised for a piece of coursework which focused on the importance of management of vehicle all round visibility within the UK waste industry.

Following the awards ceremony, a health and safety seminar was attended by over 110 delegates from across the industry and included several informative presentations on the following topics:

- Health and Safety First Aid Regulations;
- Management of all round visibility of vehicles;
- Integration of health and safety into the business process;
- General health and safety conditions within the waste industry; and
- Route Risk Assessment.

Major Hazards, Gas & Transport

HSENI's Major Hazards, Gas & Transport Group is involved in ensuring public and employee safety across a diverse range of industries and activities. These include gas transmission, gas distribution and use, land use planning, sites subject to the Control of Major Accident Hazards Regulations (COMAH), road haulage and public transport.

Gas Safety

The Gas Forum Working Group comprising key stakeholders, including HSENI, local councils, the natural gas and Liquid Petroleum Gas (LPG) industries, as well as the Consumer Council and Gas Safe Register, supported ongoing campaigns and also promoted public safety through their own initiatives.

The continued expansion of the natural gas networks, including the ongoing Gas to the

West (GtW) project, led to further planned as well as reactive visits and inspections within the natural gas transmission and distribution sectors of the industry to ensure compliance. In partnership with the Gas Safe Register, proactive and reactive visits and inspections were conducted in the downstream private, industrial and commercial sectors with enforcement action being pursued as necessary.

Major Hazards - Control of Major Accident Hazards (COMAH)

The NI Competent Authority for the Seveso II Directive comprises the Northern Ireland Environment Agency (NIEA) and HSENI, acting as a joint Competent Authority to deliver a programme of inspection and advice for those sites subject to COMAH, with 10 sites being categorised at higher risk ("upper-tier") and 14 sites as lower risk ("lower-tier"). The majority of COMAH sites in Northern Ireland are subject to these regulations because they have extensive oil and gas storage facilities. Consequently HSENI is closely involved with large scale oil and gas storage proposals from design through to build. All sites are inspected by HSENI and NIEA (usually together), to determine compliance with the COMAH regulations. Agendas for inspection and advisory visits are prepared based on HSE(GB)'s COMAH enforcement guidelines. Inspection reports are completed outlining any necessary improvement plans or enforcement actions. The risk management basis of each COMAH site is regularly reviewed. HSENI also has responsibility for ensuring that external emergency plans covering off-site risks are prepared, tested and reviewed for all 'upper-tier' COMAH sites. HSENI is also involved with the preparation and testing of internal emergency plans covering on-site risks for 'lower-tier' sites.

Land Use Planning

HSENI is a statutory consultee to the Planning Service on developments in the vicinity of

COMAH sites, gas transmission pipelines and other significant hazards. This is to ensure members of the public (in particular vulnerable groups), who work or live near such hazardous installations, are not subjected to an unacceptable level of risk.

HSENI continued to highlight the importance of consultation in relation to the Planning Advice for Developments near Hazardous Installations (PADHI) and provide advice as a statutory consultee to Strategic Planning and the Local Planning Offices within the 11 local councils in Northern Ireland. In total, the Major Hazards, Gas & Transport Group advised on 179 such statutory consultations during this period.

Transport

Work continued throughout the year to ensure that current memorandums of understanding are in place with other enforcement and accident investigation bodies in the rail and transport sectors. These arrangements prevent duplication of effort and ensure that appropriate information is exchanged and contacts made promptly when occasion demands.

Carriage of Dangerous Goods by Road

The legislation dealing with the carriage of dangerous goods (CDG) is the Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations (NI) 2010 (as amended) which, with some exceptions, requires duty holders to comply with the European Agreement concerning the International Carriage of Dangerous Goods by Road, commonly known as the ADR. A continuing programme of inspections was performed during 2016-17 to remind operators about the requirements for tank testing and ADR vehicle testing.

Railways

HSENI continued to conduct joint inspections

in conjunction with Northern Ireland Railways (NIR), Transport NI and PSNI. The physical arrangements in terms of provision of appropriate barriers, signage, and vegetation control were examined at level crossings. Inspection work was carried out in relation to railway operations during this period.

The Railway Accident Investigation Branch, (the body with the UK-wide remit to investigate serious accidents on railways), completed its investigations into an incident that occurred on 4 February 2017 at Knockmore Junction, Lisburn, as a result of construction equipment being left on the railway and subsequent collision with a passenger train.

RAIB made several recommendations, particularly regarding the methods used to check the railway line before it is returned to service.

Manufacturing, Utilities and Docks

Overall the group is responsible for sectors which employ around 80,000 people across Northern Ireland. As in previous years priority was again given to our core business activity of inspection and the investigation of complaints and incidents across the sectors.

General Manufacturing 2016-17

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

These visits focused on workplace transport, operator training, the operation and maintenance of forklift trucks, lifting and slinging operations, slips and trips, machinery guarding.



There was an increased focus on forklift truck safety and controlling the risks associated with their use. In October a very successful week long campaign resulted in over 200 inspections of manufacturing premises targeting forklift operator training, general maintenance, the company's policy on unauthorised access and all round visibility.

Utilities

HSENI engaged with NIE on their requirement to risk assess overhead lines and substations from dangers to the public arising from interference, vandalism or unauthorised access. Work is ongoing to address the Electricity Safety, Quality and Continuity Regulations (ESQCR) requirements.

Docks

Work continued in the docks and harbours throughout Northern Ireland and attention was focused on legionella control and lifting operations across the premises inspected. A Memorandum of Understanding was drawn up on chain ferries and put in place with the Maritime Coastguard Agency of the Department of Environment, Transport and the Regions and the Health and Safety Executive for Northern Ireland.

Business Advisors

The business advisors within the manufacturing group provided advice to

a range of duty businesses. The business advisors were involved in the promotion of health risk management across the sector and raised and discussed occupational workplace health issues, appropriate to the sector, during visits/inspection i.e. asbestos, musculoskeletal disorders, silica, fumes ventilation etc.

The business advisors were also involved in:

- Putting together safety alerts;
- Involved in preparing the Forklift truck initiative;
- Working with Agri-food group in delivering farm safety talks to primary schools;
- The Beesafe programme; and
- Providing information for upload to the HSENI website.

Major Investigation Team

The Major Investigation Team (MIT) has completed its ninth year of operation. The role of the team is to investigate the most serious incidents where there is a possibility of legal proceedings. The team is made up of a Principal Inspector and four Inspectors. MIT is further supported by a dedicated member of administration staff.

During 2016 -17, MIT took on (and assisted in) investigations into 16 incidents, including nine fatalities. One of the 16 investigations is under consideration by the Public Prosecution Service of Northern Ireland (PPSNI) and 15 continue to be investigated by the Major Investigation Team.

Of the 16 new investigations that MIT is involved in, five of the incidents involved loading and offloading activities, two involved falling loads and a further two involved falls

from heights. HSENI will use this information to continue highlighting the danger of such activities through general inspections, advertising campaigns, press articles and seminars to the relevant industries.

In addition, the team carried forward 25 investigation cases from the previous operational year. Of these 25 cases, seven have resulted in prosecution, eight are being considered by the PPSNI, four were not recommended for prosecution and six cases continue to be investigated.

In total, MIT submitted eight cases to the Public Prosecution Service between 1 April 2016 and 31 March 2017. Also, during the same period, there were a total of seven prosecutions completed. The total amount of fines arising out of these cases was £102,000¹ with costs totalling almost £13,000². One prosecution, in March 2017, also involved the passing of a 15 month suspended sentence for three years when a builder was sentenced for health and safety failings that led to the death of a worker and caused injury to another³. This case also involved the prosecution of the person who, as a client under health and safety law, engaged a builder and completely ignored his legal responsibility to ensure that this work was carried out safely.

MIT has continued to work closely with other enforcement agencies, and during 2016-17 the team was once again involved in joint investigations with the PSNI. Details of all prosecutions completed during 2016-17 are set out in Appendix 3 to this report.

HSENI also issued a press statement following the completion of each prosecution. This is an essential action to highlight the failings which led to the incident, and also acts as an important means of signposting other duty holders to sources of information and advice on how to work safely and ultimately avoid prosecution.

1. This total was revised to £99,000 on 18 May 2017 due to a Court of Appeal Ruling, three £1000 fines were replaced with 3 custodial 6 month sentences for health and safety offences

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

3. Court of Appeal Ruling revised this sentence to a 24 months custodial sentence on account of Manslaughter

Public Sector

In April 2016 the Public Sector Group was established combining Health, Education, Social Care, Disciplined Services, Local and Central Government with associated activities and Agencies. The Group also includes the Mental Health and Well Being Advisory Service, the Product Safety team and Fairgrounds. It has responsibility for ensuring the Health and Safety of the largest number of employees in Northern Ireland.

Employment figures published by the Northern Ireland Statistics and Research Agency in March 2017 indicate that there are 731,980 people employed in Northern Ireland, of which 202,400 or 27.5% are employed in the Public Sector. It is worth noting that unlike some other work sectors, for which the Health and Safety Executive for Northern Ireland has responsibility, the management of the activities undertaken in this sector can have a considerable impact on members of the public using services including hospitals, social care, schools, leisure facilities and recycling centres.

Just under 50% of the accidents reported to the Health and Safety Executive for Northern Ireland as required by the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) involve Public Sector activities. Analysis of the RIDDOR reports received by HSENI indicates that the majority of those reporting injuries to 'members of the public' also fall to this sector.

Local Councils

Over the past year HSENI inspectors dealt with a range of issues arising from within local council undertakings. These included visiting council leisure centres and community health and wellbeing hubs to review arrangements for health and safety management as well as unannounced visits to council waste and recycling centres to inspect safe operation of waste handling plants. Officers also liaised with council officials in relation to queries from

members of the public and employees to continue the good relationships established in joint working groups and common health and safety topics.

Disciplined Services

These services comprise the Police Service of Northern Ireland, the Northern Ireland Fire and Rescue Service, the Northern Ireland Prison Service, the Marine and Coastguard Agency and the Ministry of Defence. The group has continued to provide these organisations with advice and guidance. In the past year there was considerable interaction with the disciplined services in relation to specific health and safety issues and inspectors have worked with the employing service and employee unions to clarify issues and review specific processes where necessary.

Government Departments/Agencies

The group worked closely with Health and Safety representatives from a number of Government Departments in the past year with specific attention given to management of fire risk and workplace transport. Inspectors attended the Departmental health and safety committee meetings and this enabled them to address specific safety and health issues that were raised by safety officers and union representatives. Advice was also given to senior managers on health and safety matters and assistance given to premises officers and safety advisers on discharging their responsibilities for maintaining a healthy and safe working environment. During the year two cases of Zoonotic illness were reported from staff within a pathology department. Changes in work practices were sought and were agreed by management.

Education and Health Care

Inspectors have carried out inspections and investigations across the health care sector within nursing homes, hospitals, health centres, day centres and domiciliary care

providers. This work has included reactive and proactive meetings and site visits. Dealing with complaints has also accounted for a percentage of work in the health sector. Issues identified during meetings included, but were not limited to, moving and handling arrangements including safe use and thorough examination of lifting equipment, legionella management, asbestos management, clinical waste, bed rail risk assessments, window restrictors, as well as accident reporting and investigation. As a result of a number of incidents involving lifting equipment, including lifting equipment used within the community, this area has been identified as a focus within next year's operating plan.

Within the education sector inspections, complaints and investigations covered a range of issues including slips, trips and falls, asbestos management, welfare provision, 'critical area' glazing, legionella management, COSHH assessments, thorough examination of local exhaust ventilation (LEV) associated with plant/ equipment along with general housekeeping provisions.

Radiation Sources in Schools

During the year a series of inspections have been carried out to ensure that radioactive sources used in schools are managed correctly and appropriate action taken to rectify any issues that were identified.

Private Nursing Home Initiative

After reviewing historical RIDDORs for Private Nursing Homes (PNH) and discussing general issues found during inspections with other inspectors, a list was created of the most prominent topics/issues frequently needing addressed within this sector. These included the control of legionella, thorough examination of lifting equipment and accessories, window safety, and the storage of clinical waste.

A mail shot was sent to all private nursing homes duty holders outlining their statutory

responsibilities in relation to Health and Safety. A total of 31 homes were inspected and during the inspections managers were provided with an information pack providing guidance in relation to the identified health and safety topics. The inspection programme identified the following issues resulting in enforcement action: legionella management; lifting operations and lifting equipment reports; the storage of clinical waste; and asbestos management.

Regulation and Quality Improvement Authority (RQIA)

HSENI and RQIA have been working together during 2016-17 to ensure nursing homes are complying with their statutory duties and providing a safe environment for residents. HSENI and RQIA met to discuss common issues identified by HSENI's programme of inspections for nursing homes and establish a joint working group. The purpose of the joint working group is to create a liaison agreement between the two organisations to promote an effective working relationship and highlight the roles and responsibilities of each organisation within health care premises.

HSENI and RQIA have also been able to, when required, co-ordinate inspections of nursing homes when serious concerns for residents' safety have been identified. This was evident when HSENI and RQIA worked together to inspect a nursing home in Northern Ireland to ensure that systems were in place and being implemented to provide residents and employees with a safe working environment.

During the year assistance was also given to the RQIA regarding health and safety in a number of subject areas.

Genetically Modified Organisms in Contained Use (GMOS)

Within Northern Ireland there are currently eight Notified centres carrying out a wide range of work using Genetically Modified

Organisms in Contained Use. These GM centres are represented across private industry, Academic Institutions and Government research. Currently all work is at class 2 and below.

During the year, three new notifications of class 2 work were received by HSENI as part of the competent authority. Risk assessments for class 2 were reviewed within the appropriate timeframe and work started on all the projects.

The GM work within the centres is regulated under the Genetically Modified Organisms (Contained Use) Regulations (Northern Ireland) 2015. The new regulations transpose the EC directive on the contained use of genetically modified microorganism (2009/41/EC) as well as implementing some domestic provisions related to the contained use of larger genetically modified organisms (e.g. plants, animals). The Scientific Advisory Committee on Genetic Modification Compendium of guidance is currently being updated to reflect the changes in the legislation and advances in techniques.

In order to aid compliance within the GM community, a series of inspections was organised by HSENI. This involved a HSENI inspector and a GM specialist inspector from the Biotechnology Section of HSE (GB). During these inspections no outstanding compliance issues were found. The inspections also proved useful as staff at the various centres were able to raise issues and ask questions regarding the future direction of their work and risk assessments for new projects. In particular the recent advancement in Genome Editing techniques which enable the targeted modification of DNA sequences within living cells using enzymes (nucleases) to manipulate DNA sequences at one or more specific sites selected by the researcher. In particular CRISPR/Cas9 is becoming more widely used as a research tool because the customised guides are easier and cheaper to make. HSENI as the Competent Authority for GMO (CU)

has received many queries regarding the use of this new technology, because of potential concerns. Risk assessments have been reviewed and no changes to the class of any project have occurred.

Legionella

Specialist inspectors continued the inspection programme aimed at industrial premises operating wet cooling systems such as cooling towers and/or evaporative condensers.

These inspections followed a pattern of reviewing risk assessments, written schemes of control and statutory record keeping before a physical check of the plant was completed. The inspections were attended by the company representatives, senior management and responsible persons, as well as a representative from the water treatment company contracted to service and maintain the plant. Health and Safety Laboratories (GB) were able to provide specialist training to inspectors to aid in this inspection process.

Fairgrounds

HSENI has enforcement responsibility for travelling funfairs and fairgrounds which are common in Northern Ireland. Throughout the season, inspectors have carried out a number of proactive and reactive inspections involving small fairground operators as well as larger established employers within the industry to review specific health and safety issues, raise awareness and ensure safe operating procedures are in place. The greatest numbers of incidents involving fairground rides occur during the assembly and dismantling of rides. The Group has also continued to emphasise to all funfair operators the importance of ensuring all staff are appropriately trained and all pre-use inspections and non-destructive testing regimes are completed in accordance with ride operating manuals and design reviews. Ride safety is discussed with the relevant persons along with a review of

compulsory documentation including the Declaration of Operational Compliance (DOC), visitor safety and fencing of rides.

Product Safety

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

EU Market Surveillance helps to protect both those NI manufacturers who competently design equipment and machinery in compliance with EU requirements and the end user from unsafe machinery products. During the year, working relationships continued to be developed with the Product Safety Unit in HSE GB, the Health and Safety Authority (HSA) in the Republic of Ireland, the Department of Business, Energy & Industrial Strategy (BEIS), Border Force within Northern Ireland, and with the Single Point of Contact (SPOC) for product safety across the UK. These relationships are essential for the effective investigation of product safety investigations at the point of entry into Northern Ireland.

HSENI has led with our colleagues in HSE GB and the Market Surveillance authority in Germany in a major piece of work with auction houses and their role within the supply chain for machinery brought in from outside EEA. This work will continue and HSENI will continue to work with other UK agencies to produce a framework Model for the role of the auction house within the supply chain.

HSENI is a member of the National Market Surveillance Coordination Committee (MSCC) which provides a mechanism for cooperation, coordination and the exchange of information between Market Surveillance Authorities on policy obligations and policy concerning products which are marketed in the United Kingdom, including with regard to European Union legislation on product safety.

As an organisation, we are also a member of a BEIS led ports and borders committee, looking at the effects of BREXIT within the context of market surveillance, and the movement of goods coming into the UK. This also gives a timely opportunity to assess the UK's model of market surveillance and how to address areas where improvements may be necessary, including the appropriateness of the range of different powers and sanctions currently used by the various authorities when applied to market surveillance activity under RAMS.

Cases of non-compliant and unsafe machinery involving local and EU manufacturers and importers, arising from complaints, inspections at trade shows and notifications from other European Market Surveillance Authorities, continue to be investigated as appropriate. These have included non-integrated working platforms, trolley jacks, quarry washing and screening products, and a host of large earth moving plant from within the EEA and from the Middle and Far East.

There continues to be strong evidence of non-compliant machinery and goods being imported into Northern Ireland from the Far East and in particular from China. This issue will require further work during 2017-18 to ensure importers are aware of their responsibilities in this area.

Mental Wellbeing at Work Advisory Service (MWWAS)

The Mental Wellbeing at Work Advisory Service continues to promote and deliver Awareness Seminars to assist Northern Ireland employers to use the Management Standards approach as a tool to control the risks associated with work related stress.

During 2016-17, HSENI delivered three public seminars and a tailored briefing session for

local councils. The HSENI website provides an online registration facility for attending the seminar.

During 2016-17, HSENI continued to promote HSE's Management Standards and our associated resources on mental wellbeing in the workplace setting.

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

- one third sector organisations;
- one private company; and
- one public sector organisation.

HSENI's Mental Wellbeing at Work Advisory Service facilitated eleven workshops and seminars in liaison with the Labour Relations Agency to mixed audiences including a tailored workshop for the Irish Congress of Trade Unions (ICTU). It also conducted two presentations to organisations within the education sector and delivered a presentation to organisations who have signed a commitment to the Northern Ireland Mental Health Charter. The Mental Wellbeing at Work advisor promoted the Management Standards approach as a tool to control the risks associated with work related stress at the Northern Ireland Safety Group conference and events held during Social Enterprise Week.

The Mental Wellbeing at Work Advisory Service developed working relationships with the Public Health Agency Workplace Health and Wellbeing Program service providers to provide advice, guidance and tailored support on work related stress and mental wellbeing at work to businesses throughout the four health trust areas.

HSENI's Mental Wellbeing at Work Advisory Service developed relationships with the local mental health organisations and public bodies promoting the Management Standards as a

best practice methodology to prevent work related stress and mental wellbeing. The Mental Wellbeing at Work Advisory Service continues to influence these organisations to embed prevention into all work related training programs.

Health and Safety at Work Legislation

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

During 2016-17 HSENI continued to develop proposals for new legislation to control risks to the health and safety of people at work and submitted these proposals to the Department for the Economy (DfE) (formerly the Department of Enterprise, Trade and Investment). This process also involved liaising with the DfE Minister and the Assembly Committee for the Economy. While, for the most part, legislation mirrors that in GB, HSENI will also make intelligence-led proposals for regulations which address local hazards.

Where legislation is needed to implement EU Directives in Northern Ireland, HSENI aims to submit regulations to DfE within six months of the equivalent GB Regulations being made.

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

HSENI uses electronic media to publish all the consultation documents that have been prepared. The HSENI website contains all consultations undertaken. However, hard copies or versions in more accessible formats are available on request. Following evaluation of the responses from consultees, draft Regulations are submitted to DfE to be formally made.

HSENI also regularly approves Codes of Practice to support certain Regulations.

Activity during the year

During the year, HSENI prepared three sets of regulations and initiated three consultations. In addition, HSENI was involved in the preparation of five sets of UK-wide regulations. Further involvement has been required in relation to subsequent amendment of four of these sets of regulations.

An additional set of regulations, and four Codes of Practice, had been advanced to their final approval/decision stages, but these were overtaken by local political events and could not be completed in-year.

A significant proportion of the Health and Safety regulatory framework is EU-led or influenced. HSENI therefore carried out internal analysis of the current 'stock' of subordinate legislation to identify that which may be affected by the UK's proposed exit from the EU, and contributed to wider preparatory work on the legislative effects in Northern Ireland of such an exit.

Details of work completed are below:

Northern Ireland Regulations prepared
The Control of Electromagnetic Fields at Work Regulations (Northern Ireland) 2016 (S.R. 2016 No. 266)
The Offshore Installations (Offshore Safety Directive) (Safety Case etc.) Regulations (Northern Ireland) 2016 (S.R. 2016 No. 406)
The Mines Regulations (Northern Ireland) 2016 (S.R. 2016 No. 427)
UK-wide Regulations prepared
The Simple Pressure Vessels (Safety) Regulations 2016 (S.I. 2016/1092)
The Lifts Regulations 2016 (S.I. 2016/1093)
The Electrical Equipment (Safety) Regulations 2016 (S.I. 2016/1101)

The Pressure Equipment (Safety) Regulations 2016 (S.I. 2016/1105)
The Health and Safety (Miscellaneous Amendments and Revocation) Regulations 2017 (S.I. 2017/304)
Consultations initiated
Consultation on revised Approved Code of Practice : Safe work in confined spaces: Confined Spaces Regulations 1997 (L101)
Consultation on revised Approved Code of Practice – Safe use of lifting equipment (L113)
Consultation on revised Approved Code of Practice – L122 Safety of Pressure Systems
Revised Approved Codes of Practice and Guidance published
A Guide to the Control of Electromagnetic Fields at Work Regulations

Administration

Policy Development

HSENI is aware that strategies must continuously evolve and develop with changing circumstances and, therefore, HSENI will ensure that its strategies continue to be effective and consistent with the broader Government policy framework and meet the needs of the local economy.

Equality

HSENI's revised Equality Scheme, submitted to the Equality Commission in May 2012, was approved by the Commission on 24 April 2013 and signed by HSENI's Chair and Chief Executive on 9 July 2013. Uncertainties surrounding the political situation and the NICS's future budget allocation has led to a delay in the completion of HSENI's new Corporate Plan. However, it is hoped the new plan will be finalised during 2017-18, and a revised Equality Scheme will be introduced in line with the new Corporate Plan.

During 2016-17, HSENI:

- carried out equality screening exercises in respect of proposals for six sets of health and safety regulations/approved codes of practice. None of these exercises identified any adverse or differential impacts for section 75 groups and, in year, none of the responses to any subsequent consultation exercises disagreed with these findings;
- as part of the second Farm Safety Partnership Action Plan, continued with its multi-media farm safety campaign. The campaign, launched in 2012-13, runs under the banner of "Stop and Think SAFE", with SAFE representing the four main dangers on farms – Slurry, Animals, Falls and Equipment. It aims to get farmers, including older farmers, to look at their behaviours and to adopt a safer approach to working on their farms. It also encourages the involvement of those who can influence them – wives, daughters, sons, grandchildren and other relatives and friends;
- continued its work on its child safety on farms campaign, reaching over 7,800 primary school children with its presentations delivering key messages for staying safe on the farm;
- continued with the child safety on farms poster competition with entries from 5,000 pupils from 100 primary schools. A 2017 calendar was produced from the winning entries and this was distributed to 40,000 families of children attending rural primary schools in Northern Ireland, providing key monthly messages on how to avoid the dangers of working or playing on the farm;
- participated in eight rural 'Bee Safe' events speaking to some 4,000 pupils on the three key farm safety messages, namely tractors and other machinery, safety with animals, and safe play on the farm;

- provided several publications aimed specifically at providing information on HSENI's information services for migrant workers who do not have English as their first language. HSENI has provided these publications, in hard copy and on the web, in a number of ethnic minority languages; and
- continued to provide the pictorial Universal Safety Booklet, for high risk work sectors, aimed at those who do not have English as their first language or have difficulty in reading.

Human Resources

HSENI continues to manage its business and improve performance through effective staff deployment and performance management. This has been achieved through efficient people planning, active career management, and facilitation of staff transfer for the benefit of both the business and the individual concerned. HSENI maintains a skilled and motivated workforce created through a culture of development and well managed personal development plans.

HSENI's staff complement is 111. As HSENI has Crown status, its employees are Civil Servants and enjoy Northern Ireland Civil Service terms and conditions of service. A significant number of our staff made use of the flexible working hours and work life balance policies available throughout the NICS. At 31 March 2017, there were 30 staff working on part time or partial retirement arrangements.

A breakdown at 31 March 2017 showing the number of persons of each sex who were Board Members, senior managers and employees of HSENI, is shown below. Figures for the previous year are shown in brackets.

	Male	Female
Board Members	7 (7)	2 (2)
Senior Managers	3 (3)	1 (1)
Employees	51 (47)	60 (60)

HSENI continues to monitor and actively manage the sickness absence of its staff through the application of centrally agreed policies and procedures and the HRConnect Shared Service.

HSENI continues to:

- create an inclusive, safe and healthy working environment for all staff;
- actively pursue fairness and equality;
- encourage team working within an open and participative management culture; and
- maintain good industrial relations and liaise regularly with Trade Union representatives.

Human Rights

The Human Rights Act 1998 came fully into force on 2 October 2000 and provides additional focus and emphasis on the rights and freedoms of individuals guaranteed under the European Convention on Human Rights.

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

Disabled Employees

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

Health and Safety within HSENI

HSENI's Corporate Plan for 2011 to 2015

(extended to include 2016-17) sets out its commitment to create an inclusive, safe and healthy working environment for all staff. To underscore this commitment, health, safety and welfare at work is a standing item on the agenda at all Senior Management Team and Board meetings.

Quality of Service

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

- operates in a consistent and co-ordinated manner in the appliance of Service First principles;
- treats all its customers in an open, fair and impartial way;
- puts things right if they go wrong and explains how to complain if dissatisfied;
- ensures that suppliers are paid promptly in line with Better Payment Practice;
- maintains good industrial relations and liaises regularly with Trade Union representatives;
- has an independent customer satisfaction survey carried out within the lifetime of its Corporate Plan; and
- exploits the benefits of information technology in the delivery of its service.

Service First - Key Customer Standards

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

- identify ourselves by name on the telephone and in letters. Field staff will carry identification;
- meet personal callers, with or without an appointment, within 5 minutes of arrival;

- provide a response to an enquiry within 10 working days;
- treat in confidence information that HSENI receives unless it is required to disclose that information for legal reasons;
- respond to requests for leaflets within 5 working days; and
- ensure that complaints are dealt with quickly and effectively.

Service Complaints

The Head of HSENI's Services Division is responsible for ensuring that complaints are dealt with quickly and effectively. During the year there were nine formal complaints received about the service provided by HSENI. Each of these complaints was dealt with in accordance with HSENI's published complaints procedure.

Data Security

HSENI completed a review to assess the effectiveness of the internal processes which support the Security Policy Framework. The results of the review were reported to DfE via the NICS HSENI Security Health Check (DSHC). HSENI's key objectives and risks are regularly assessed to ensure consistency of treatment. The risk to information security is considered as an integral part of this process, particularly in relation to risk of damage to reputation.

Efficiency and Value for Money

In order to ensure that the public resources allocated are used to best effect, HSENI is committed to:

- regularly monitoring performance;
- conducting Internal Audits of its operating systems;

- adopting a strategic approach to risk management;
- keeping its performance measurement mechanisms under review;
- following the Department of Finance and Personnel's Central Procurement Directorate (CPD) guidelines for procurement and using its services wherever possible;
- keeping administrative costs to a minimum; and
- recovering costs where appropriate.

Employee Involvement and Learning and Development

HSENI Human Resource policies, strategies and plans directly and tangibly support HSENI's business by ensuring the provision of appropriately motivated and skilled staff. HSENI is committed to the continuous development of its staff to meet the needs of its business areas and to reflect the variety of skills and competencies required for them to operate effectively both now and in the future. HSENI HR in line with HR policies contained in the NICS Staff Handbook ensure performance management, absence levels and employee relations are managed effectively. HSENI is committed to providing all staff with the development and training necessary for effective performance in their jobs and for the development of their potential in accordance with the business needs of HSENI and the agreed training priorities for the NICS. HSENI utilises the DoF (formerly DFP) Centre for Applied Learning shared service which provides a wide range of programmes for all generic learning and development needs. HSENI also provides an Assistance to Study Scheme which supports staff to achieve a recognised qualification in their own time.

Five staff were funded to study the NEBOSH Construction Certificate course.

HSENI undertook a comprehensive range of learning and development activities for staff in accordance with its Learning and Development Plan 2016-17. This amounted to 367.65 training days spent on organisational, team and individual training needs. This represents 1.51% of staff days available and 1.85% of HSENI's administrative budget.

HSENI's investment in learning and development has included our existing inspectors who avail of a range of training courses to ensure they receive the same professional development opportunities as their GB counterparts in a wide range of disciplines.

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

During 2016-17 the Senior Management Team (SMT) and Heads of Group (Principal Inspectors and administrative Grade 7s) participated in a Leadership Development Programme and continue to work together to implement the actions from this.

Staff opinions and views are sought as part of the planning processes, for example, as part of the annual operational plan, as well as at events such as the staff away days. SMT also encourages consultation and exchange of information within HSENI. SMT meet with the Heads of Group team on a regular basis. In addition, a system of team briefing provides the framework for managers to update staff on a monthly basis on Board and SMT decisions, organisational topics and issues.

Other channels to maximise staff involvement include appraisal, SHINE newsletter, SharePoint Intranet, working groups such as the Out of Hours project and the informal breakfast events. HSENI recognises the importance of good industrial relations and is committed to effective employee relations and communications. Regular meetings are held with representatives of Trade Unions under the Whitley framework.

Enforcement Guidelines

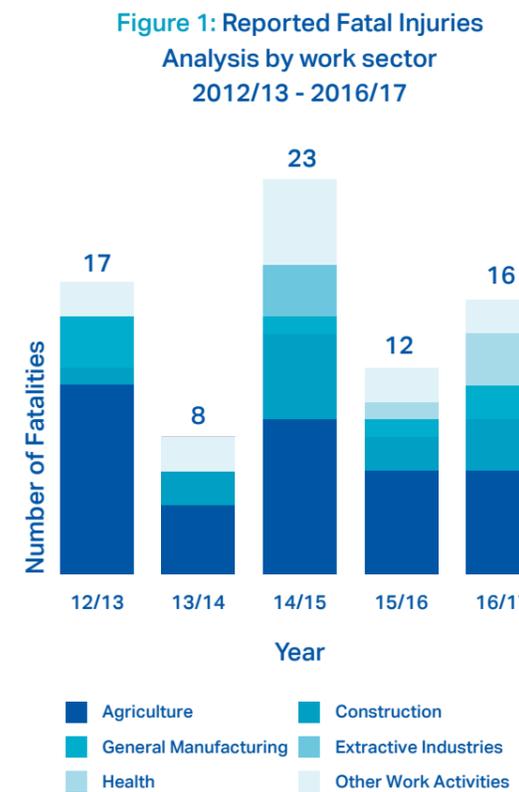
HSENI's Enforcement Guidelines enshrine the principles contained in the Regulators' Code produced by the Better Regulation Delivery Office of the Department for Business Innovation and Skills in July 2013.

HSENI believes in firm but fair enforcement of health and safety law. This should be informed by the principles of **proportionality** in applying the law and securing compliance; **targeting** of enforcement action; **consistency** of approach; **transparency** about how the regulator operates and what those regulated may expect; and **accountability** for the regulator's actions. These principles should apply both to enforcement in particular cases and to the health and safety enforcing authorities' management of enforcement activities as a whole.

Statistics

The following information has been compiled for the work sectors that HSENI is responsible for under the Health and Safety (Enforcing Authority) Regulations (Northern Ireland) 1999. It must be borne in mind that all figures for 2016-17 are provisional.

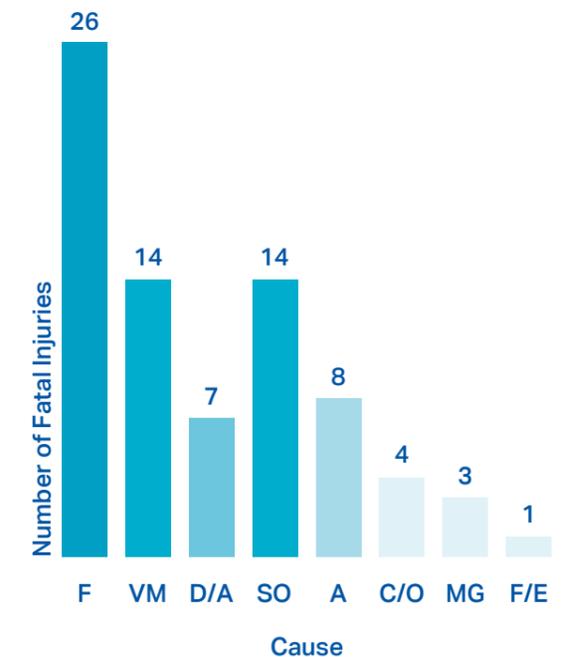
Figure 1 shows that there were 16 fatal injuries during the reporting period, which represents an increase from the previous year's figure of 12. Of the 16 fatal injuries during 2016-17, six occurred in agriculture, three in construction, two in general manufacturing, three in health and two in other work activities.



Because of the small statistical base, HSENI publishes analyses of fatal injury causations on the basis of five-year records. The most recent analysis is shown in Figure 2. The most

frequent causations over the last five years were: falls (F); vehicle movements (VM); being struck by an object (SO); animals (A); drowning/asphyxiation (D/A); collapse/overturn (C/O); machinery guarding (MG); and fire/explosion (F/E).

Figure 2: Reported Fatal Injuries Analysis by Cause 2012/13 - 2016/17



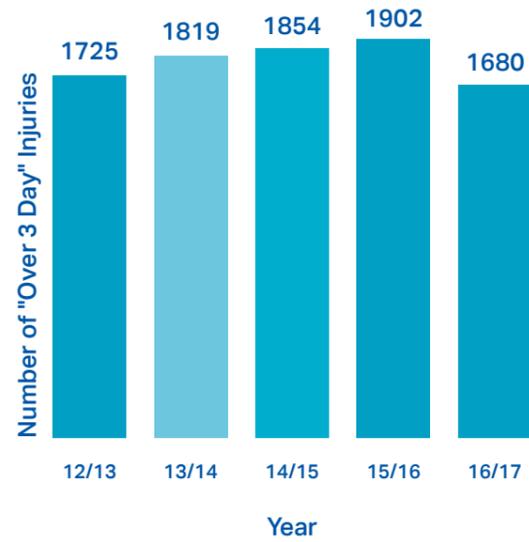
While HSENI has confidence in the number of fatal injuries recorded, it is generally recognised that there is a significant degree of under-reporting of incidents in other categories. Nevertheless trends relating to these categories can provide a useful indicator as to general health and safety performance in Northern Ireland. During the year there were 54 less non-fatal major injuries reported to HSENI than the number in the previous year as illustrated in Figure 3.

**Figure 3: Reported Major Injuries
2012/13 - 2016/17**



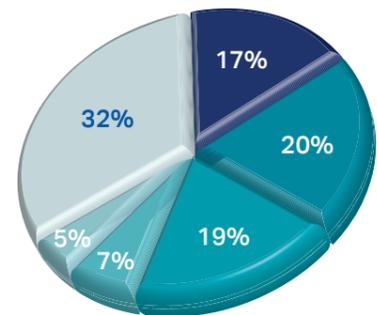
There were 1,680 reported 'over 3 day' injuries during the year, which was a 12% decrease when compared to the number in the previous year as illustrated in Figure 4. This represents the lowest number of injuries in the last five years.

**Figure 4: Reported "Over 3 Day" Injuries
2012/13 - 2016/17**



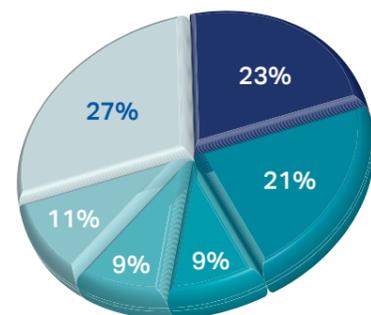
Figures 5 and 6 represent the analyses of all injuries by work sector and by causation respectively. However due to variances in levels of under-reporting between sectors, caution should be applied when attempting to draw any firm inferences from these figures.

**Figure 5: All Reported Injuries
2016/17 - Analysis by work sector**



- Public Services
- Health
- Manufacturing
- Construction
- Education
- Remainder

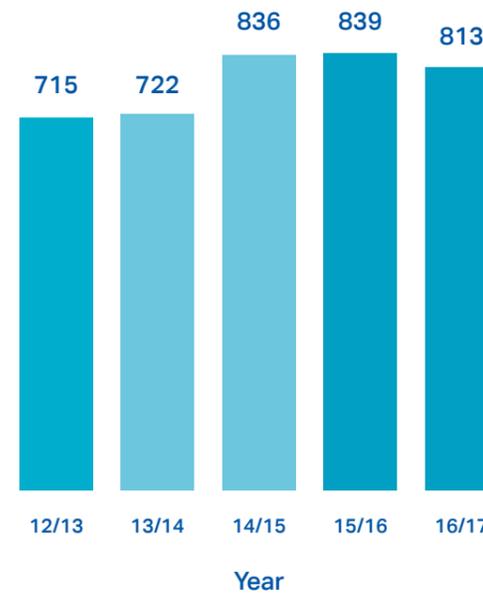
Figure 6: All Reported Injuries



- Slips, Trips and Falls
- Handling
- Assault by/Violence
- Struck by/against object
- Fall from a height
- Remainder

Figure 7 illustrates the number of complaints received by HSENI relating to alleged unsatisfactory working conditions and work-related activities. This year saw a 3% decrease in the number of complaints being made when compared to the previous year.

**Figure 7: Complaints Received
2012/13 - 2016/17**



HSENI and District Council Statistics

The information below reflects the Northern Ireland position relating to all regulatory bodies (HSENI and District Councils). Previous year's final figures are shown in brackets. (P) Indicates that the figure is provisional.

1. Health and Safety at Work Statistics 2016-17

Fatal Injuries	18	(13)
Major Injuries	404(P)	(451)
Over 3 Day Injuries	2039(P)	(2313)
TOTALS	2462(P)	(2777)

2. Statistics by Enforcing Authority

	Fatal Injuries		Major Injuries		Over 3 Day Injuries	
HSENI	16	(12)	357(P)	(411)	1680(P)	(1902)
District Councils	2	(1)	47(P)	(40)	359(P)	(411)
TOTALS	18	(13)	404(P)	(451)	2039(P)	(2313)

3. Five year Trends

	2012-13	2013-14	2014-15	2015-16	2016-17
Fatal Injuries	19	10	26	13	18
Major Injuries	428	472	438	451	404
Over 3 day Injuries	2132	2171	2276	2313	2039
TOTALS	2579	2653	2740	2777	2462

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

	2012-13	2013-14	2014-15	2015-16	2016-17
HSENI	17	8	23	12	16
District Councils	2	2	3	1	2
TOTALS	19	10	26	13	18

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

	2012-13	2013-14	2014-15	2015-16	2016-17
NI Employees at June rounded to the nearest thousand ⁴	693	699	720	730	732
NI Fatal Injuries (Employees only)	3	3	7	-	4
NI Fatal Injuries incidence rate per 100,000 employees	0.43	0.43	0.97	-	0.55
GB Fatal Injuries incidence rate per 100,000 employees	0.40	0.44	0.46	0.46	N/Available

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

Table 1: Asbestos-related deaths in Northern Ireland 2012-2016

Registration Year	Primary/secondary cause			
	Mesothelioma without asbestosis	Asbestosis* without mesothelioma	Mesothelioma and asbestosis*	All primary or secondary cause
2012	48	13	1	62
2013	41	19	1	61
2014	39	22	2	6
2015	43**	24	3	70
2016***	TBC			

* For certain years these figures also include a small number of other asbestos related chest diseases and pulmonary fibrosis where there was coexisting asbestos exposure

*** Figures supplied by Demographic Statistics, Northern Ireland Research and Statistics Agency (2016 figures not available until July/August 2017)

4. Figures used for 2015-16 and 2016-17 reflect December statistics for that financial year

Table 2: Asbestos-related deaths in Northern Ireland 2012-2016: where asbestosis or mesothelioma are coded as the primary cause of death

Registration Year	Primary cause		
	Mesothelioma	Asbestosis*	All primary cause
2012	48	4	52
2013	40	8	48
2014	41	8	49
2015	42	5	47
2016	TBC		

* For certain years these figures also include a small number of other asbestos related chest diseases and pulmonary fibrosis where there was coexisting asbestos exposure

** Figures supplied by Demographic Statistics, Northern Ireland Research and Statistics Agency (2016 figures not available until July/August 2017)

Reported Diseases 2016-17

Under the RIDDOR Regulations, HSENI received 28 reports of diseases. There were 10 cases of hand-arm vibration syndrome; one case of carpal tunnel syndrome; eight cases of occupational dermatitis; four cases of traumatic inflammation of the tendons; three cases of occupational asthma and two cases of ringworm. These cases came from 13 different employers.

Accountability Report

Corporate Governance Report

Directors' Report

Directors

The directors of HSENI during 2016-17 included the Chairman, Board Members and the Senior Management Team. The HSENI Chairman and Board Members during 2016-17 were George Lucas (Chair), Hilary Singleton (Deputy Chair), Billy Graham, John Kane, Dr Mark Wilkinson, Lindsey Smith, Harry Sinclair, Tom Wright, and Maynard Mawhinney. The Senior Management Team during 2016-17 was comprised of the Chief Executive, Keith Morrison, and three Deputy Chief Executives, Bryan Monson, Nicola Monson and Louis Burns.

Principal Activities

The principal activities of HSENI in the course of the year are set out in detail in the Strategic Report, with the Performance section providing a good overview.

Donations

HSENI made no charitable or political donations during the year.

Pension Liabilities

Information on how pension liabilities are treated in the accounts is given in note 1.11 of the Notes to the Executive's Accounts, and a reference to the statements of the relevant pension scheme is contained in the Remuneration Report.

Register of Interests

The HSENI Board is supported by a secretariat, located within Corporate Support Group, which is responsible for the maintenance of a register of interests that contains details of company directorships and other significant interests held by Board members which may conflict with their management responsibilities. Access to the information in that Register can be obtained by writing to the Board Secretary, Health and Safety Executive for Northern Ireland, 83 Ladas Drive, Belfast, BT6 9FR or by emailing mail@hseini.gov.uk and marking your email "FAO Board Secretary".

Sickness Absence Data

The overall HSENI managing attendance figure for 2016-17 was a total of 981 staff days lost. This equates to an average of 10.2 days sickness absence per staff member during the year. 62.4% of working days lost through sick absence during 2016-17 were attributable to long term absence. 91.7% of staff had no sick absence throughout the period.

Personal Data Related Incidents

During the 2016-17 year HSENI had no reportable data losses. One potential incident involved the loss of a Prosecution file which subsequently was found and returned to HSENI.

Future Developments in Health and Safety

HSENI's new Corporate Plan will be finalised during 2017-18. HSENI's will focus on activities which are associated with the most serious outcomes such as fatalities and life changing injuries. This will ensure our resources are targeted on areas where we can achieve the greatest change for people at work.

During 2017-18, HSENI aims to:

- deliver a multi-media Farm Safety campaign in line with the Farm Safety Partnership's Action Plan 2014-2017;
- deliver the objectives set out in the Farm Safety Partnership Action Plan (identified for HSENI) by March 2018;
- deliver farm safety presentations to children in 80 rural primary schools and run a safety on farms poster competition aimed at rural primary school pupils;
- hold a series of targeted events in conjunction with partner organisations aimed at priority issues, such as occupational lung disorders, occupational cancers, mental health wellbeing and other work-related health issues, and aimed at high risk work sectors, such as agriculture, construction, waste and extractive industries;
- continue to work with a range of public sector bodies in reducing sickness absence associated with work-related stress;
- distribute copies of the 'Be Safe When You Start' booklet to young people and students entering the world of work for the first time;
- through our business advisors, provide advice to 170 premises on health and safety issues specific to the business needs, priority areas, and risks where appropriate;
- undertake at least 5,000 inspections across all work sectors for which HSENI is responsible, aimed at improving levels of compliance with health and safety standards; and
- work in partnership with the district councils in co-ordinating the development and delivery of the 'Slips, Trips and Falls' initiative and in ensuring the joint working activities and structures are contributing to and consistent with the goals of the Joint Strategy 'Health and Safety: Protecting Lives, not stopping them'.

Other Developments

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

Audit

The financial statements are audited by the Comptroller and Auditor General for Northern Ireland (C&AG) in accordance with the Health and Safety at Work (Northern Ireland) Order 1978 as amended by the Health and Safety at Work (Amendment) (Northern Ireland) Order 1998. The C&AG is Head of the Northern Ireland Audit Office and he and his staff are wholly independent of the Health and Safety Executive for Northern Ireland. He reports his findings to the Northern Ireland Assembly. The audit of the financial statements for 2016-17 resulted in an audit fee of £10,261 and is included in the other operating charges in the Net Expenditure Account. The C&AG did not provide any non-audit services during the year. As the Accounting Officer, HSENI's Chief Executive is responsible for maintaining a sound system of internal control that supports the achievement of HSENI's policies, aims and objectives whilst safeguarding the public funds and HSENI assets in accordance with the responsibilities set out in Managing Public Money (NI).

So far as the Accounting Officer is aware, there is no relevant audit information of which the auditor is unaware, and the Accounting Officer has taken all the steps that he ought to have taken to make himself aware of any relevant audit information and to establish that the auditor is aware of that information.



K Morrison
Chief Executive
21 June 2017

Statement of Accounting Officer's Responsibilities

Under the Health and Safety at Work (Northern Ireland) Order 1978 as amended by the Health and Safety at Work (Amendment) (Northern Ireland) Order 1998, the Department for the Economy has directed the Health and Safety Executive for Northern Ireland to prepare for each financial year a statement of accounts in the form and on the basis set out in the Accounts Direction. The accounts are prepared on an accruals basis and must give a true and fair view of the state of affairs of the Health and Safety Executive for Northern Ireland and of its net resource outturn, application of resources, changes in taxpayers' equity and cash flows for the financial year.

In preparing the accounts, the Accounting Officer is required to comply with the requirements of the Government Financial Reporting Manual and in particular to:

- observe the Accounts Direction issued by the Department for the Economy including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis;
- make judgements and estimates on a reasonable basis;
- state whether applicable accounting standards as set out in the Government Financial Reporting Manual have been followed, and disclose and explain any material departures in the financial statements; and
- prepare the financial statements on a going concern basis.

The Accounting Officer of the Department for the Economy has designated the Chief Executive as Accounting Officer of the Health and Safety Executive for Northern Ireland. The responsibilities of an Accounting Officer, including responsibility for the propriety and regularity of the public finances for which the Accounting Officer is answerable, for keeping proper records and for safeguarding the Health and Safety Executive for Northern Ireland's assets, are set out in Managing Public Money Northern Ireland (MPMNI) published by HM Treasury.



K Morrison
Chief Executive
21 June 2017

Governance Statement

Introduction

This is the fifth Governance Statement for the Health and Safety Executive for Northern Ireland (HSENI). It reflects HSENI's governance, risk management and internal control arrangements as they have operated during the 2016-17 financial year. It also provides details of future actions planned by the HSENI to mitigate risks and to address any internal control weaknesses that have been identified.

Organisation and Structures

The six key organisational structures which support the delivery of corporate governance in HSENI are:

1. the HSENI Board;
2. the Audit and Risk Management Committee;
3. the Health and Safety Executive/Local Authority Liaison (HELANI) Committee;
4. the Remuneration Committee;
5. Monthly Senior Management Team meetings; and
6. Quarterly Oversight and Liaison meetings with HSENI's sponsoring body, the Department for the Economy (DfE).

HSENI's Governance Framework

Corporate Governance refers to the way in which organisations are directed and controlled. HSENI's governance framework, which ensures the effectiveness of the direction and control of the Department, is set out in the following paragraphs.

1. HSENI's Board

HSENI's Board oversees the aims and objectives of the organisation within the wider strategic aims of DfE, HSENI's sponsor Department. It supports the Chief Executive by providing collective leadership and taking ownership of HSENI's performance. During 2016-17, HSENI's Board comprised of nine members including the Chairman, George Lucas, who was appointed on 1 April 2011. The Board Members are appointed for three years (renewable for a further period of up to three years) by the Departmental Minister, in line with the Code of Practice issued by the Commissioner for Public Appointments for Northern Ireland.

The Board is comprised entirely of independent members. Its membership during 2016-17 was as follows:



George Lucas
Chair



Hilary Singleton
Deputy Chair



Billy Graham



John Kane



Dr Mark Wilkinson



Lindsey Smith



Harry Sinclair



Tom Wright



Maynard Mawhinney

While HSENI is a Crown body and its staff are civil servants, the Board is the employer of HSENI staff and is responsible for appointing its Chief Executive and for setting appropriate remuneration for this post. The Board contributes to the good governance of HSENI by offering constructive challenge across all of HSENI's business. This is with a view to ensuring that all aspects of strategy and delivery of policy are scrutinised for effectiveness and efficiency. Day-to-day operational matters are the responsibility of the Chief Executive and Deputy Chief Executives that make up HSENI's Senior Management Team.

The Board has corporate responsibility for ensuring that HSENI fulfils the aims and objectives set by DfE and approved by the Minister, and for promoting the efficient, economic and effective use of staff and other resources by HSENI. To this end, and in pursuit of its wider corporate responsibilities, the Board:

- establishes the overall strategic direction of HSENI within the policy and resources framework determined by the sponsor Minister and Department, particularly under the Department's Management Statement and Financial Memorandum for HSENI;
- constructively challenges the HSENI's executive team in their planning, target setting and delivery of performance;
- ensures that the Department is kept informed of any changes which are likely to impact on the strategic direction of HSENI or on the attainability of its targets, and determines the steps needed to deal with such changes;
- ensures that any statutory or administrative requirements for the use of public funds are complied with; that the Board operates within the limits of its statutory authority and any delegated authority agreed with the Department, and in accordance with any other conditions relating to the use of public funds; and that, in reaching decisions, the Board takes into account all relevant guidance issued by DoF and the Department;
- ensures that the Board receives and reviews regular financial information concerning the management of HSENI; is informed in a timely manner about any concerns about the activities of HSENI; and provides positive assurance to the Department that appropriate action has been taken on such concerns;
- demonstrates high standards of corporate governance at all times, including using the independent Audit and Risk Management Committee, to help the Board to address the key financial and other risks facing HSENI; and
- appoints with the Department's approval, a Chief Executive to HSENI and, in consultation with the Department, sets performance objectives and remuneration terms linked to these objectives for the Chief Executive, which give due weight to the proper management and use of public monies.

2. HSENI's Audit and Risk Management Committee

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

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

The ARMC also periodically reviews its own effectiveness and reports the results of that review to the Board. The last review was completed in relation to the 2015-16 year in June 2016 and submitted to the Board at its meeting on 15 June 2016. The points highlighted for consideration following this self-assessment exercise were:

- To continue to develop a good working relationship with HSENI's Internal and External Auditors through regular planning and progress meetings, with and without staff involvement;
- To review the Annual Internal Audit Customer Satisfaction Survey in order to highlight any areas where improvement is required; and
- To ensure that ARMC is afforded adequate time to consider the end of year accounts and that sufficient time is built into the faster closing timetable to facilitate this.

3. Health and Safety Executive/Local Authority Liaison (HELANI) Committee

The HELANI Committee is a liaison committee. Its aim is to develop and maintain a productive and effective working partnership with HSENI's co-enforcers, the NI District Councils. The Committee is chaired by a Board Member, Billy Graham, and Maynard Mawhinney also represents the Board on the Committee. The Committee normally meets three times a year but due to the changes taking place in Local Government, activity at a strategic level was scaled down until the new Council structures were established. This process meant Council personnel involved in partnership working were uncertain about where they would be assigned in the new structures. However, the partnership joint work continued and communication on joint working issues was maintained through the Partnership Liaison Officer.

4. Remuneration Committee

The Remuneration Committee normally meets once a year to review the performance of the Chief Executive and to recommend to the Department the Chief Executive's pay award. During 2016-17, the Committee, comprised of the Chair, George Lucas, the Deputy Chair, Hilary Singleton and Board member, Billy Graham, discussed the Chief Executive's progression against 2016-17 objectives at its meeting in October 2016.

5. Monthly Senior Management Team Meeting

HSENI's monthly Senior Management Team Meeting is the regular formal meeting of senior management to discuss ongoing operational issues. It is chaired by the Chief Executive and attended by the three Deputy Chief Executives. Minutes of these meetings are published on HSENI's website.

6. Quarterly Oversight and Liaison Meetings

Oversight and Liaison meetings with DfE are held on a quarterly basis. The agendas for these meetings contain standing items which include performance monitoring, budgetary and finance matters, risk management and corporate governance. Attendance at these meetings and any matters of note are reported to HSENI's Board by the Chief Executive.

Corporate and Business Planning

Within the policy and resources framework set by the Department's Minister and the Executive, HSENI's Board sets the strategic and annual direction of the organisation through the corporate and business planning process. A Corporate Plan, which aligns with the Executive's Programme for Government and Budget, is normally prepared every three years. HSENI's Corporate Plan was extended for two years to include 2015-16 and 2016-17 following direction from DoF.

The new Corporate Plan will be finalised during 2017-18. More detailed Operating Plans are prepared on an annual basis. The detailed stages of the corporate and business planning processes are built into the HSENI's Board work programme.

Secretariat

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

Board Attendance

During the 2016-17 year, HSENI's Board met a total of five times. Details of the attendance of individuals who were board members during the year are as follows:

Board Member	Number of Meetings Attended	Out of a Possible
George Lucas	4	5
Hilary Singleton	5	5
John Kane	5	5
Mark Wilkinson	3	5
Billy Graham	3	5
Maynard Mawhinney	4	5
Lindsey Smith	4	5
Harry Sinclair	4	5
Tom Wright	5	5

During the 2016-17 year, issues considered by HSENI's Board included:

- (i) HSENI's annual Budget allocation and issues arising therefrom;

- (ii) management accounting information relating to the actual use of financial resources;
- (iii) human resource issues, including managing attendance and the impact of the Voluntary Exit Scheme;
- (iv) legislative progress and proposals;
- (v) progress in relation to outputs and outcomes (performance targets); and
- (vi) the identification and management of risk.

Board Performance and Effectiveness

HSENI's Board members' performance is appraised annually by the Chair of the Board and the Chair's performance is appraised annually by the Grade 5 in the Department for the Economy's Sponsor Branch. The Board also reviews its own performance to ensure compliance with the Corporate Governance Code. The last self-assessment exercise was completed in October 2016 and the next review is scheduled for 2018.

Audit and Risk Management Committee Reports

Following each meeting of the ARMC, HSENI's Board is provided with the draft minutes of the meeting supplemented by a verbal report from the ARMC Chair.

The Chair also provides an annual report to HSENI's Board which summarises the Committee's work for the year. The report includes:

- (i) details of meetings, membership and attendance;
- (ii) a summary of the findings from the ARMC's review of its effectiveness;
- (iii) a summary of work undertaken during the year; and

- (iv) the ARMC's views on risk management.

The ARMC was content with the quality of assurances it received during 2016-17 including the management of risk and the quality of internal and external audit.

Risk Management

HSENI's approach is to assign risks to those best placed to manage them, whilst maintaining clear accountability. HSENI manages risk at a corporate level, supported by internal processes.

Corporate Risks are managed collectively by the Senior Management Team, with ownership of the risks assigned to the Accounting Officer. HSENI's Senior Management Team formally reviews the Corporate Risk Register on a quarterly basis, with a further review at each meeting of the ARMC. HSENI's Board also receives a full copy of the Corporate Risk Register at each meeting.

Corporate risks being managed at 31 March 2017 and key actions being taken in mitigation related to:

- **Retention and availability of specialist/skilled staff**

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

- **Failure to secure sufficient funding to maintain services**

Regular financial planning meetings between SMT and Finance as well as prioritisation of work ensured continued service delivery during 2016-17. Regular discussions took place with DfE throughout the year to promote the importance of HSENI's work and the potential impact of a further reduction in

budget. HSENI continues to face financial constraints and these are and will actively be managed to ensure service delivery is maintained.

- **Damage to HSENI's Reputation**

Damage to HSENI's reputation could lead to poor organisational credibility. The organisation therefore treats this as a significant risk and has a number of controls in place to mitigate this risk. This includes the maintenance of a strong corporate governance ethic and control procedures by both HSENI's Board and staff members. Performance of the organisation is regularly monitored by HSENI's Senior Management Team and the Board.

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

The fruition of this risk could be due to a number of factors including failure of staff to adhere to HSENI policies and procedures. The organisation has a number of controls in place to mitigate this risk. These include robust selection, recruitment and training processes for all staff and for inspectorate staff in particular.

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

HSENI has clear roles and responsibilities in place with regard to identifying, investigating and managing any suspected cases of fraud. There are a number of key operational and corporate governance controls that help ensure that the likelihood of this risk is minimised. These include Fraud and Whistleblowing Policies.

- **Major disruption to business**

A major disruption to business delivery may result from a number of causes. HSENI has mitigated this risk by having Emergency

Planning Controls, Information Technology Controls, Information Security Controls and Operational Controls in place.

As at 31 March 2017, HSENI's risk register did not include any 'Emerging risks'.

Six Monthly Assurance Statements

Every six months HSENI's Chief Executive provides an Assurance Statement to DfE's Permanent Secretary, who is the Departmental Accounting Officer for DfE. This six monthly statement confirms the efficacy of the systems of internal control within HSENI and, where appropriate, draws the attention of the Permanent Secretary to any significant internal control issues during 2016-17. HSENI's Chief Executive also provides the Permanent Secretary with a copy of the latest risk register and confirmation of Direct Award Contracts awarded during the period.

Data Security

HSENI continues to review and assess the effectiveness of its internal processes which support the Security Policy Framework. On an annual basis we carry out a review of our policies and procedures and report the outcome of our findings to DfE in the Departmental Security Health Check (last reported June 2016). HSENI confirmed adherence to the Security Policy Framework and set out its Information Security commitments for the coming year to ensure adherence is maintained.

HSENI's key objectives and risks are regularly assessed to ensure consistency of treatment. The risk to information security is considered as an integral part of this process, particularly in relation to risk of damage to HSENI's reputation.

During the year, there were no incidents of data loss reported.

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

During 2016-17, HSENI dealt with 145 Freedom of Information requests, 81 Information requests under Article 30 of the HASAWO, and 12 Environmental Information Regulations requests. These requests varied in nature and originated from a number of sources, including the general public, private companies and Members of the Legislative Assembly (MLAs).

Internal Audit

HSENI has externally appointed Internal Auditors, who operate to HM Treasury's Public Sector Internal Audit Standards. The Internal Auditors construct their annual audit programme on the basis of an Internal Audit Strategy covering the period 2015-16 to 2017-18 and also take into account the objectives and risks faced by HSENI, including any emerging risks. The Internal Audit programme for 2016-17 was agreed by the ARMC.

HSENI's Internal Auditors submit regular reports to the ARMC which include the Head of Internal Audit's independent opinion on the adequacy, reliability and effectiveness of HSENI's system of internal control. A substantial assurance was given in relation to the adequacy of the systems of control in place within HSENI, in line with the Internal Audit Strategic Plan, and their operation for the period ended 31 March 2017.

Compliance with the Corporate Governance Code

HSENI is content that it is compliant with both the spirit and the principles of the "Corporate Governance in Central Government Departments: Code of Good Practice NI 2013" issued by the Department of Finance

and Personnel (now Department of Finance) in April 2013, in so much as they can be read across to NDPBs.

Quality of Data Used by HSENI's Board

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

The Board also draws assurance from the fact that data relating to financial information and absenteeism is derived from NICS wide systems such as Account NI and HR Connect. These systems are subject to scrutiny by DFP's Internal Audit Service and information on absenteeism is supplied to departments by the Northern Ireland Statistics and Research Agency (NISRA). The data is subject to challenge or to requests for further information/clarification by the Board. The Board was content with the quality of information it received during 2016-17.

Ministerial Directions

No Ministerial Directions were issued during the 2016-17 financial year.

Public Accounts Committee Issues

HSENI was not required to provide evidence to the Assembly's Public Accounts Committee during 2016-17.



K Morrison
Chief Executive
21 June 2017

Remuneration and Staff Report

Remuneration Report

The Minister of Finance approves the pay remit for Senior Civil Service (SCS) staff. The SCS remuneration arrangements are based on a system of pay scales for each SCS grade containing a number of pay points from minima to maxima, allowing progression towards the maxima based on performance. In 2012, upon creation, there were 11 points on each scale. The minimum point has been removed in each year from 2014 to 2016 (the scales now have 8 pay points) to allow progression through the pay scales within a reasonable period of time.

Remuneration Committee

The Remuneration Committee meets once a year to review the performance of the Chief Executive and to recommend to the Department the Chief Executive's pay award.

The committee comprises the Chairman and Deputy Chairman together with one other Board member. The composition of the committee which met during 2016/17 was George Lucas, Hilary Singleton and Billy Graham. Board salaries are set by the Public Appointments Unit in the Department for the Economy.

Service Contracts

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

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

Further information about the work of the Civil Service Commissioners can be found at www.nicscommissioners.org.

Salary and Pension Entitlements (audited information)

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

Remuneration (including salary) and pension entitlements

Senior Management	2016-17				2015-16		
	Salary £'000	Bonus Payments £'000	Pension Benefits (to nearest £1000)*	Total (£'000)	Salary £'000	Pension Benefits (to nearest £1000)*	Total (£'000)
Keith Morrison Chief Executive	70-75	0-5	36	105-110	65-70	41	105-110
Dermot Breen Deputy Chief Executive (to 31st October 2015)	-	-	-	-	35-40 (full year equivalent: 60-65)	(15)	20-25 (full year equivalent: 45-50)
Louis Burns Deputy Chief Executive (from 1st November 2015)	55-60	-	42	95-100	20-25 (full year equivalent: 50-55)	18	40-45 (full year equivalent: 70-75)
Bryan Monson Deputy Chief Executive	60-65	0-5	27	90-95	60-65	35	95-100
Nicola Monson Deputy Chief Executive	55-60	-	32	90-95	55-60	32	85-90
Band of Highest Paid Manager	70-75				65-70		
Median Total Remuneration	37,253				33,528		
Ratio	1.9				2.0		

* The value of pension benefits accrued during the year is calculated as (the real increase in pension multiplied by 20) plus (the real increase in any lump sum) less (the contributions made by the individual). The real increases exclude increases due to inflation and any increase or decreases due to a transfer of pension rights.

Reporting bodies are required to disclose the relationship between the remuneration of the highest-paid manager in their organisation and the median remuneration of the organisation's workforce.

The banded remuneration of the highest-paid manager in HSENI in the financial year 2016-17 was £70 - 75k (2015-16, £65 - 70k). This was 1.9 times (2015-16, 2.0) the median remuneration of the workforce, which was £37,253 (2015-16, £33,528).

In 2016-17, 0 (2015-16, 0) employees received remuneration in excess of the highest-paid manager.

	2016-17	2015-16
Board Members	Salary £'000	Salary £'000
George Lucas Chairperson (to 31st March 2016)*	15-20	15-20
Billy Graham, John Kane, Maynard Mawhinney, Harry Sinclair, Hilary Singleton, Mark Wilkinson, Tom Wright	0-5	0-5

* Derek Martin was appointed as Chairperson with effect from 1 April 2017.

Salary

'Salary' includes gross salary; overtime; reserved rights to London weighting or London allowances; recruitment and retention allowances; private office allowances and any other allowance to the extent that it is subject to UK taxation and any ex gratia payments.

Benefits in kind

The monetary value of benefits in kind covers any benefits provided by the employer and treated by HM Revenue and Customs as a taxable emolument. No such benefits were received by HSENI staff.

Total remuneration includes salary, non-consolidated performance-related pay, and benefits-in-kind. It does not include severance payments, employer pension contributions and the cash equivalent transfer value of pensions.

Two of the senior members of HSENI received bonuses in 2016-17 (None in 2015-16) and none of the senior members received benefits in kind during the year 2016-17 or 2015-16.

Bonuses

Bonuses are based on performance levels attained and are made as part of the appraisal process. Bonuses relate to the performance in the year in which they become payable to the individual. The bonuses reported in 2016-17 relate to performance in 2016-17. No bonuses were payable to senior staff in 2015-16.

Pension Entitlements (audited information)

	Accrued pension at pension age as at 31/3/17 and related lump sum	Real increase in pension and related lump sum at pension age	CETV at 31/3/17	CETV at 31/3/16	Real increase in CETV
Senior Management	£'000	£'000	£'000	£'000	£'000
Keith Morrison Chief Executive	30-35	0-2.5	475	436	18
Louis Burns Deputy Chief Executive	15-20 plus lump sum of 45-50	0-2.5 plus lump sum of 2.5-5	298	257	24
Bryan Monson Deputy Chief Executive	20-25 plus lump sum of 50-55	0-2.5 plus lump sum of 0-2.5	349	319	13
Nicola Monson Deputy Chief Executive	15-20 plus lump sum of 40-45	0-2.5 plus lump sum of 0-2.5	281	250	17

Board members are not included in the NICS Pension Scheme.

Northern Ireland Civil Service (NICS) Pension arrangements

Pension benefits are provided through the Northern Ireland Civil Service pension schemes which are administered by Civil Service Pensions (CSP). Staff in post prior to 30 July 2007 may be in one of three statutory based 'final salary' defined benefit arrangements (classic, premium, and classic plus). These arrangements are unfunded with the cost of benefits met by monies voted by the Assembly each year. From April 2011 pensions payable under classic, premium, and classic plus are reviewed annually in line with changes in the cost of living. Prior to 2011, pensions were reviewed in line with changes in the Retail Prices Index (RPI). New entrants joining on or after 1 October 2002 and before 30 July 2007 could choose between membership of premium or joining a good quality 'money purchase' stakeholder arrangement with a significant employer contribution (partnership pension account). New entrants joining on or after 30 July 2007

were eligible for membership of the nuvos arrangement or they could have opted for a partnership pension account. Nuvos is a 'Career Average Revalued Earnings' (CARE) arrangement in which members accrue pension benefits at a percentage rate of annual pensionable earnings throughout the period of scheme membership. The current rate is 2.3%. CARE pension benefits are increased annually in line with changes in the cost of living.

A new pension scheme, alpha, was introduced for new entrants from 1 April 2015. The majority of existing members of the NICS pension arrangements have also moved to alpha from that date. Members who on 1 April 2012 were within 10 years of their normal pension age will not move to alpha and those who were within 13.5 years and 10 years of their normal pension age were given a choice between moving to alpha on 1 April 2015 or at a later date determined by their age. Alpha is also a 'Career Average Revalued Earnings' (CARE) arrangement in which members

accrue pension benefits at a percentage rate of annual pensionable earnings throughout the period of scheme membership. The rate will be 2.32%. CARE pension benefits are reviewed annually in line with changes in the cost of living.

Increases to public service pensions are the responsibility of HM Treasury. Pensions are reviewed each year in line with the cost of living. Any applicable increases

are applied from April and are determined by the Consumer Prices Index (CPI) figure for the preceding September. The CPI in September 2016 was 1% and HM Treasury has announced that public service pensions will be increased accordingly from April 2017.

Employee contribution rates for all members for the period covering 1 April 2017 – 31 March 2018 are as follows:

Scheme Year 1 April 2017 to 31 March 2018

Annualised Rate of Pensionable Earnings (Salary Bands)		Contribution rates – Classic members or classic members who have moved to alpha		Contribution rates – All other members	
From	To	From 01 April 2017 to 31 March 2018	From 01 April 2017 to 31 March 2018	From 01 April 2017 to 31 March 2018	From 01 April 2017 to 31 March 2018
£0	£15,000.99	4.6%	4.6%	4.6%	4.6%
£15,001.00	£21,422.99	4.6%	4.6%	4.6%	4.6%
£21,423.00	£51,005.99	5.45%	5.45%	5.45%	5.45%
£51,006.00	£150,000.99	7.35%	7.35%	7.35%	7.35%
£150,001.00 and above		8.05%	8.05%	8.05%	8.05%

Benefits in classic accrue at the rate of 1/80th of pensionable salary for each year of service. In addition, a lump sum equivalent to three years' pension is payable on retirement. For premium, benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike classic, there is no automatic lump sum (but members may give up (commute) some of their pension to provide a lump sum). Classic plus is essentially a variation of premium, but with benefits in respect of service before 1 October 2002 calculated broadly as per classic.

The partnership pension account is a stakeholder pension arrangement. The employer makes a basic contribution of between 8% and 14.75% (depending on the age of the member) into a stakeholder pension product chosen by the employee. The employee does not have to contribute but where they do make contributions, the

employer will match these up to a limit of 3% of pensionable salary (in addition to the employer's basic contribution). Employers also contribute a further 0.5% of pensionable salary to cover the cost of centrally-provided risk benefit cover (death in service and ill health retirement).

The accrued pension quoted is the pension the member is entitled to receive when they reach pension age, or immediately on ceasing to be an active member of the scheme if they are at or over pension age. Pension age is 60 for members of **classic**, **premium** and **classic plus** and 65 for members of **nuvos**. The normal pension age in alpha is linked to the member's State Pension Age but cannot be before age 65. Further details about the NICS pension schemes can be found at the website <https://www.finance-ni.gov.uk/topics/working-northern-ireland-civil-service/civil-service-pensions-ni>.

Cash Equivalent Transfer Values

A Cash Equivalent Transfer Value (CETV) is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme or arrangement to secure pension benefits in another pension scheme or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies. The CETV figures, and from 2003-04 the other pension details, include the value of any pension benefit in another scheme or arrangement which the individual has transferred to the NICS pension arrangements. They also include any additional pension benefit accrued to the member as a result of their purchasing additional years of

pension service in the scheme at their own cost. CETVs are calculated in accordance with The Occupational Pension Schemes (Transfer Values) (Amendment) Regulations 2008 and do not take account of any actual or potential benefits resulting from Lifetime Allowance Tax which may be due when pension benefits are taken.

Real increase in CETV

This reflects the increase in CETV effectively funded by the employer. It does not include the increase in accrued pension due to inflation, contributions paid by the employee (including the value of any benefits transferred from another pension scheme or arrangement) and uses common market valuation factors for the start and end of the period. However, the real increase calculation uses common actuarial factors at the start and end of the period so that it disregards the effect of any changes in factors and focuses only on the increase that is funded by the employer.

Staff Report

Staff Costs (audited information)

Staff costs comprise:

	2016-17		2015-16	
	Permanently employed staff £'000	Others £'000	Total £'000	Total £'000
Wages and salaries	3,528	31	3,559	4,105
Social security costs	369	-	369	298
Other pension costs	785	-	785	833
	4,682	31	4,713	5,236

The Northern Ireland Civil Service pension schemes are unfunded multi-employer defined benefit schemes but HSENI is unable to identify its share of the underlying assets and liabilities. The most up to date actuarial valuation was carried out as at 31 March 2012. This valuation is then reviewed by the Scheme Actuary and updated to reflect current conditions and rolled forward to the reporting date of the DoF Superannuation and Other Allowances Annual Report and Accounts as at 31 March 2017.

For 2016-17, employers' contributions of £784,538 were payable to the NICS pension arrangements (2015-16 £833,492) at one of three rates in the range 20.8% to 26.3% of pensionable pay, based on salary bands. The scheme's Actuary reviews employer contributions every four years following a full scheme valuation. A new scheme funding valuation based on data as at 31 March 2012 was completed by the Actuary

during 2014-15. This valuation was used to determine employer contribution rates for the introduction of alpha from April 2015. For 2017-18, the rates will range from 20.8% to 26.3%. The contribution rates are set to meet the cost of the benefits accruing during 2016-17 to be paid when the member retires, and not the benefits paid during this period to existing pensioners.

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

No exit packages were paid during the year (2015-16: £372,875).

No persons (2015-16: 0 persons) retired early on ill-health grounds; the total additional accrued pension liabilities in the year amounted to £nil (2015-16: £nil).

Average number of persons employed (audited information)

The average number of whole-time equivalent persons, including senior management, employed during the year was as follows:

	2016-17		2015-16	
	Permanent staff	Others	Total	Total
Directly employed	101	-	101	112
Other	1	-	1	1
Total	102	-	102	113

Staff Composition

A breakdown at 31 March 2017 showing the number of persons of each sex who were Board Members, senior managers and employees of HSENI, is shown below. Figures for the previous year are shown in brackets.

	Male	Female
Board Members	7 (7)	2 (2)
Senior Managers	3 (3)	1 (1)
Employees	49 (47)	59 (60)

Sickness Absence Data

The overall HSENI managing attendance figure for 2016-17 was a total of 981 (2015-16: 1049) staff days lost. This equates to 10.2 (2015-16: 9.6) days per staff member during the year.⁵ 62.4% of working days lost through sick absence during 2016-17 were attributable to long term absence. 91.7% of staff had no sick absence throughout the period.

Staff Policies applied during the Financial Year

HSENI adheres to all NICS policies in ensuring full and fair consideration is given to applications for employment by disabled persons, in continuing the employment of, and arranging appropriate training for, employees who have become disabled persons during the period when they were employed, and for the training, career development and promotion of disabled persons employed.

Expenditure on Consultancy

HSENI did not incur any expenditure on Consultants during the 2016-17 financial year.

Off-payroll Engagements

HSENI did not engage in any off-payroll arrangements during the 2016-17 financial year.

Keith Morrison

K Morrison
Accounting Officer
21 June 2017

5. Figures for staff days lost and days sickness absence per staff member are sourced from NISRA who have advised that the figures are provisional and should not be quoted as an official absence rates. Final figures not expected until September 2017.

Accountability and Audit Report

Funding Report

Regularity of Expenditure (audited information)

HSENI conducted its financial dealings throughout the year in line with relevant legislation, delegated authorities and appropriate guidance issued by HM Treasury and DFP, including Managing Public Money Northern Ireland.

Fees and Charges (audited information)

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

Losses and Special Payments

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

Remote Contingent Liabilities

HSENI is not aware of any remote contingent liabilities.

Long-term Expenditure Trends

HSENI is currently funded on a year by year basis. The budget allocation for 2016-17 has been set at a similar level to 2015-16. HSENI does not foresee any significant adjustments to budget levels in the short-term as a result of management decisions but is subject to the impact of overall adjustments to the Northern Ireland block funding and Departmental adjustments.

Auditor's Report

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

I certify that I have audited the financial statements of the Health and Safety Executive for Northern Ireland for the year ended 31 March 2017 under the Health and Safety at Work (Northern Ireland) Order 1978. The financial statements comprise: the Statements of Comprehensive Net Expenditure, Financial Position, Cash Flows, Changes in Taxpayers' Equity; and the related notes. These financial statements have been prepared under the accounting policies set out within them. I have also audited the information in the Remuneration and Staff Report and Accountability and Audit Report within the Accountability Report that is described in that report as having been audited.

Respective responsibilities of the Accounting Officer and auditor

As explained more fully in the Statement of Accounting Officer's Responsibilities, the Accounting Officer is responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. My responsibility is to audit, certify and report on the financial statements in accordance with the Health and Safety at Work (Northern Ireland) Order 1978. I conducted my audit in accordance with International Standards on Auditing (UK and Ireland). Those standards require me and my staff to comply with the Auditing Practices Board's Ethical Standards for Auditors.

Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether

caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the Health and Safety Executive for Northern Ireland's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Health and Safety Executive for Northern Ireland; and the overall presentation of the financial statements. In addition I read all the financial and non-financial information in the Annual Report to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my certificate.

I am required to obtain evidence sufficient to give reasonable assurance that the expenditure and income recorded in the financial statements have been applied to the purposes intended by the Assembly and the financial transactions recorded in the financial statements conform to the authorities which govern them.

Opinion on regularity

In my opinion, in all material respects the expenditure and income recorded in the financial statements have been applied to the purposes intended by the Assembly and the financial transactions recorded in the financial statements conform to the authorities which govern them.

Opinion on financial statements

In my opinion:

- the financial statements give a true and fair view of the state of the Health and Safety Executive for Northern Ireland's affairs as at 31 March 2017 and of the net expenditure for the year then ended; and

- the financial statements have been properly prepared in accordance with the Health and Safety at work (Northern Ireland) Order 1978 and Department for the Economy (formerly Department for Enterprise, Trade and Investment) directions issued thereunder.

Opinion on other matters

In my opinion:

- the parts of the Remuneration and Staff Report and the Accountability and Audit Report to be audited have been properly prepared in accordance with the Department for the Economy directions made under the Health and Safety at Work (Northern Ireland) Order 1978; and
- the information given in the Performance Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

Matters on which I report by exception

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the parts of the Remuneration and Staff Report and the Accountability and Audit Report to be audited are not in agreement with the accounting records; or
- I have not received all of the information and explanations I require for my audit; or
- the Governance Statement does not reflect compliance with Department of Finance's guidance.

Report

I have no observations to make on these financial statements.



KJ Donnelly
Comptroller and Auditor General
Northern Ireland Audit Office
106 University Street
Belfast
BT7 1EU
28 June 2017

Health and Safety Executive for Northern Ireland

Financial Statements for the year ended 31 March 2017

Contents	Page
Statement of Comprehensive Net Expenditure	74
Statement of Financial Position	75
Statement of Cash Flows	76
Statement of Changes in Taxpayers' Equity	77
Notes to the Accounts	78–86

Statement of Comprehensive Net Expenditure
for the year ended 31st March 2017

	Notes	2016-17 £'000	2015-16 £'000
Income from activities	4	42	54
Total operating income		42	54
Staff costs	2	4,713	5,236
Depreciation	3	27	27
Other operating expenditure	3	1,640	1,586
Total operating expenditure		6,380	6,849
Net operating expenditure for the year		6,338	6,795

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

The notes on pages 78 to 86 form part of these accounts.

Statement of Financial Position
as at 31st March 2017

	Notes	31st March 2017 £'000	31st March 2016 £'000
Non-current assets:			
Property, plant and equipment	5	37	54
Intangible assets	6	-	-
Total non-current assets		37	54
Current assets:			
Trade and other receivables	8	233	240
Cash and cash equivalents	9	559	408
Total current assets		792	648
Total assets		829	702
Current liabilities:			
Trade and other payables	10	712	550
Total current liabilities		712	550
Total assets less total liabilities		117	152
Taxpayers' equity			
General reserve		117	152
Revaluation reserve		-	-
		117	152

The financial statements on pages 73 to 86 were approved by the Board on 21 June 2017 and were signed on its behalf by;


(D Martin, Chairman)


(K Morrison, Chief Executive)

21 June 2017

The notes on pages 78 to 86 form part of these accounts.

Statement of Cash Flows

for the year ended 31st March 2017

	Notes	2016-17 £'000	2015-16 £'000
Cash flows from operating activities			
Net operating cost		(6,338)	(6,795)
Adjustment for depreciation charge on non-current assets	3	27	27
Adjustment for gain on disposal of transport equipment	3	-	(5)
Adjustment for notional costs	3	389	306
Decrease in trade and other receivables	8	7	23
Increase in trade and other payables	10	155	5
Net cash outflow from operating activities		(5,760)	(6,439)
Cash flows from investing activities			
Purchase of property, plant and equipment	5	(3)	(10)
Proceeds of disposal of transport equipment	3	-	5
Net cash outflow from investing activities		(3)	(5)
Cash flows from financing activities			
Grants from sponsoring department			
Capital Grant-in-Aid Financing		10	10
Funding of Staff and Operating Expenditure*		5,227	5,726
Funding of Programme Expenditure		677	595
Net financing		5,914	6,331
Net increase/(decrease) in cash and cash equivalents in the period	8	151	(113)
Cash and cash equivalents at the beginning of the period	8	408	521
Cash and cash equivalents at the end of the period	8	559	408

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

The notes on pages 78 to 86 form part of these accounts.

Statement of Changes in Taxpayers' Equity

for the year ended 31st March 2017

Notes	General Reserve £'000	Revaluation Reserve £'000	Total Reserves £'000
Balance at 31st March 2015	310	-	310
Changes in taxpayers' equity for 2015-16			
Capital Grant-in-Aid Financing – DETI	10	-	10
Funding of Staff and Operating Expenditure – Request for Resource B – DETI	5,726	-	5,726
Funding of Programme Expenditure – Request for Resource B – DETI	595	-	595
Grants from Sponsoring department for 2015-16	6,331	-	6,331
Non-cash charges	306	-	306
Comprehensive net expenditure for the year	(6,786)	-	(6,786)
Auditor's remuneration	(9)	-	(9)
Total recognised Income and expense for 2015-16	(6,489)	-	(6,489)
Balance at 31st March 2016	152	-	152
Changes in taxpayers' equity for 2016-17			
Capital Grant-in-Aid Financing – DfE	10	-	10
Funding of Staff and Operating Expenditure – Request for Resource B – DfE	5,227	-	5,227
Funding of Programme Expenditure – Request for Resource B – DfE	677	-	677
Grants from Sponsoring department for 2016-17	5,914	-	5,914
Non-cash charges	389	-	389
Comprehensive net expenditure for the year	(6,328)	-	(6,328)
Auditor's remuneration	(10)	-	(10)
Total recognised Income and expense for 2016-17	(5,949)	-	(5,949)
Balance at 31st March 2017	117	-	117

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

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

The notes on pages 78 to 86 form part of these accounts.

Notes to the Executive's Accounts

1. Statement of Accounting Policies

These financial statements have been prepared in accordance with the 2016-17 Government Financial Reporting Manual (FReM) issued by the Department of Finance (DoF). The accounting policies contained in the FReM apply International Financial Reporting Standards (IFRS) as adapted or interpreted for the public sector context. Where the FReM permits a choice of accounting policy, the accounting policy which is judged to be most appropriate to the particular circumstances of the Health and Safety Executive for Northern Ireland (HSENI) for the purpose of giving a true and fair view has been selected. The particular policies adopted by HSENI are described below. They have been applied consistently in dealing with items that are considered material to the accounts.

Management has reviewed new accounting standards that have been issued but are not yet effective, nor adopted early, for these accounts. Management consider that these are unlikely to have any significant impact on the accounts in the period of initial application.

1.1. Accounting Convention

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

1.2. Property, Plant and Equipment

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

1.3. Depreciation

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

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

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

1.4. Intangible Assets

Computer Software

The Department of Enterprise, Trade and Investment (now DfE) acquired a Case Management System (CMS) in 2005-06 for use by HSENI. This CMS system was retrospectively capitalised in the 08-09 year under IAS 38 Intangible Assets. The useful economic life of the asset was estimated at 6 years to March 2012. This system is still in use within HSENI but work has begun to procure a replacement system.

HSENI acquired the accounting software, Microsoft Dynamics NAV in 2009-10. The useful economic life of the asset was estimated at 4 years to March 2014. The system is still in use within HSENI.

These assets are recorded at fair value, as calculated using the Depreciated Replacement Cost method (DRC). Amortisation is calculated on a straight-line basis. Intangible assets are reviewed annually for impairment and are carried at fair value.

1.5. Operating Income

Operating income represents fees charged to businesses for licences and attendance at conferences and is recognised in the period in which performance is satisfied.

1.6. Fees and Charges

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

Medical Examinations by EMAS, Asbestos Licensing and GMO Permits.

COMAH income is obtained on a full cost recovery basis.

All these relate to services costing less than £1,000,000.

This information is provided for Fees and Charges purposes, not for IFRS 8 purposes.

1.7. Leases

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

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

1.8. Financial Instruments

Cash and cash equivalents

Cash and cash equivalents comprise cash at bank and in hand.

Trade and other receivables

Trade receivables do not carry any interest and are recognised and carried at the lower of their original invoiced value and recoverable amount. A bad debt provision is made when there is objective evidence that the recoverable amount is less than the original invoiced value. Balances are written off when

the probability of recovery is assessed as being remote.

Trade and other payables

Trade payables are not interest bearing and are stated at their nominal value.

1.9. Grant-in-Aid

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

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

Budget for Staff and Operating Expenditure within HSENI is retained by DfE on behalf of HSENI and used to administer this type of expenditure through HSENI's existence as a separate cost centre within DfE's finance system. Payments are approved by HSENI budget holders but the payment is made from DfE's bank account. HSENI is accountable for the level and propriety of spend but does not physically receive the cash funding. Due to the nature of this arrangement, the Grant-in-Aid associated with this budget matches the level of expenditure.

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

1.10. Value Added Tax

HSENI does not charge output VAT on income and is ineligible to reclaim input VAT on programme expenditure. Therefore all programme expenditure is inclusive of VAT.

Staff and Operating expenditure is exclusive of VAT as it is administered by DfE on HSENI's behalf.

1.11. Pensions

Past and present employees are covered by the provisions of the NICS pension arrangements. The rate for the employer's contribution is set by the Government Actuary and for 2016-17 was dependent on salary range. All contributions are charged to the Statement of Comprehensive Net Expenditure as incurred.

1.12. Operating Segments

The Chief Operating Decision Maker considers HSENI as one operating unit in making decisions. Management information is generated on a holistic basis for the organisation.

1.13. Staff Costs

Under IAS19 Employee Benefits, all staff costs must be recorded as an expense as soon as the organisation is obligated to pay them. This includes the cost of any untaken leave as at the year end. The cost of untaken leave has been determined with reference to cost and leave balance information held by HRConnect at the year end.

2. Staff numbers and related costs

Staff costs comprise:

	2016-17		2015-16	
	Permanently employed staff	Others	Total	Total
	£'000	£'000	£'000	£'000
Wages and salaries	3,528	31	3,559	4,105
Social security costs	369	-	369	298
Other pension costs	785	-	785	833
	4,682	31	4,713	5,236

3. Other Expenditure

	Notes	2016-17 £'000	2015-16 £'000
Advertising and publicity		390	493
Motor and travel expenses		142	141
Inspection and enforcement		188	185
Staff training		126	115
Other Staff Related Costs		81	80
Printing, postage and stationery		37	29
Contract cleaning		27	25
Heat and light		13	17
Scientific services		27	16
Office maintenance		11	13
Telephone		43	48
Recruitment costs		18	2
Rentals under operating leases		11	11
Internal audit and accountancy		17	15
Research		7	7
Car parking		4	9
Premises costs		26	24
Catering and hospitality		4	2
IT costs		9	4
Staff equipment		13	14
Auditor's remuneration		10	9
Legal fees		32	20
Staff development		9	6
Other expenditure*		6	-
Non-cash items			
Depreciation	5	27	27
Amortisation	6	-	-
Gain on disposal of transport equipment		-	(5)
Notional accommodation charge		357	274
Notional Departmental Solicitors Office charge		32	32
		1,667	1,613

* Other expenditure relates to a compensation payment of £6,000 made to an ex-employee

4. Income

	2016-17 £'000	2015-16 £'000
Licence, subscription and conference fees	36	45
Other income	6	9
	42	54

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

5. Property, plant and equipment

2016/17	Transport equipment £'000	Furniture & fittings £'000	Total £'000
Cost or valuation			
At 1 April 2016	24	322	346
Additions	-	10	10
At 31 March 2017	24	332	356
Depreciation			
At 1 April 2016	6	286	292
Charged in year	6	21	27
At 31 March 2017	12	307	319
Carrying value at 31 March 2017	12	25	37
Carrying value at 31 March 2016	18	36	54
Asset financing:			
Owned	12	25	37
Carrying value at 31 March 2017	12	25	37

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

6. Intangible assets

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

Information Technology 2016/17	Total £'000
Valuation	
At 1 April 2016	210
Additions	-
Revaluations	-
At 31 March 2017	210
Amortisation	
At 1 April 2016	210
Charged in year	-
Revaluations	-
At 31 March 2017	210
Carrying value at 31 March 2017	-
Carrying value at 31 March 2016	-
Asset financing:	
Owned	-
Carrying value at 31st March 2017	-
HSENI values its intangible assets at 31st March using the Depreciated Replacement Cost method. It is estimated by restating the value annually by reference to indices compiled by the Office of National Statistics (ONS).	
2015/16	Total £'000
Valuation	
At 1 April 2015	210
Additions	-
Revaluations	-
At 31 March 2016	210
Amortisation	
At 1 April 2015	210
Charged in year	-
Revaluations	-
At 31 March 2016	210
Carrying value at 31 March 2016	-
Carrying value at 31 March 2015	-
Asset financing:	
Owned	-
Carrying value at 31st March 2016	-

7. Financial Instruments

As the cash requirements of the Health and Safety Executive for Northern Ireland (HSENI) are met through Grant-in-Aid provided by the Department for the Economy, financial instruments play a more limited role in creating and managing risk than would apply to a non-public sector body. The majority of financial instruments relate to contracts to buy non-financial items in line with HSENI's expected purchase and usage requirements and HSENI is therefore exposed to little credit, liquidity or market risk.

8. Trade receivables and other current assets

	2016-17 £'000	2015-16 £'000
Amounts falling due within one year:		
Trade receivables	7	21
Other receivables*	183	200
Prepayments and accrued income	43	19
Total	233	240

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

9. Cash and cash equivalents

	2016-17 £'000	2015-16 £'000
Balance at 1 April	408	521
Net change in cash and cash equivalent balances	151	(113)
Balance at 31 March	559	408

The following balances at 31 March were held at:

Commercial banks and cash in hand	559	408
Balance at 31 March	559	408

10. Trade payables and other current liabilities

	2016-17 £'000	2015-16 £'000
Amounts falling due within one year		
Trade payables	65	11
Accruals and deferred income	647	539
Total	712	550

11. Provisions for liabilities and charges

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

12. Commitments under leases

12.1. Operating leases

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

	2016-17 £'000	2015-16 £'000
Obligations under operating leases comprise:		
Buildings:		
Not later than one year	-	10
Later than one year and not later than five years	-	-
Later than five years	-	-
	-	10

HSENI entered into a lease agreement with Lancer Buildings Ltd on 10 November 2010, for the rental of offices in Omagh. This is a five year lease effective from 19 February 2010, with the possibility of extension for a further three years. A year extension was taken in February 2015 and again in February 2016. Negotiations are ongoing in relation to the extension of this lease.

12.2. Finance leases

HSENI does not hold any finance leases.

13. Related Party Transactions

The Health and Safety Executive for Northern Ireland is a Non-Departmental Public Body (NDPB) sponsored by the Department for the Economy. The Department for the Economy is regarded as a related party. During the year, the Health and Safety Executive for Northern Ireland has had various material transactions with the Department and with other entities for which the Department is regarded as the parent Department, viz:

Non-Departmental Public Bodies:

- Invest Northern Ireland (Invest NI);
- Tourism Northern Ireland (Tourism NI);
- Consumer Council for Northern Ireland (GCCNI);
- Northern Ireland Screen;

- CITB-NI;
- Labour Relations Agency;
- Stranmillis University College;
- the six Further Education colleges;
- InterTradeIreland (Trade and Business Development Body); and
- Tourism Ireland Company Limited by Guarantee (TICLG).

Independent Autonomous Bodies:

- Ulster University (Higher Education Institution) ;
- Queens University (Higher Education Institution);
- Open University; and
- St Mary's University College (Non Profit Institution Serving Households Body).

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

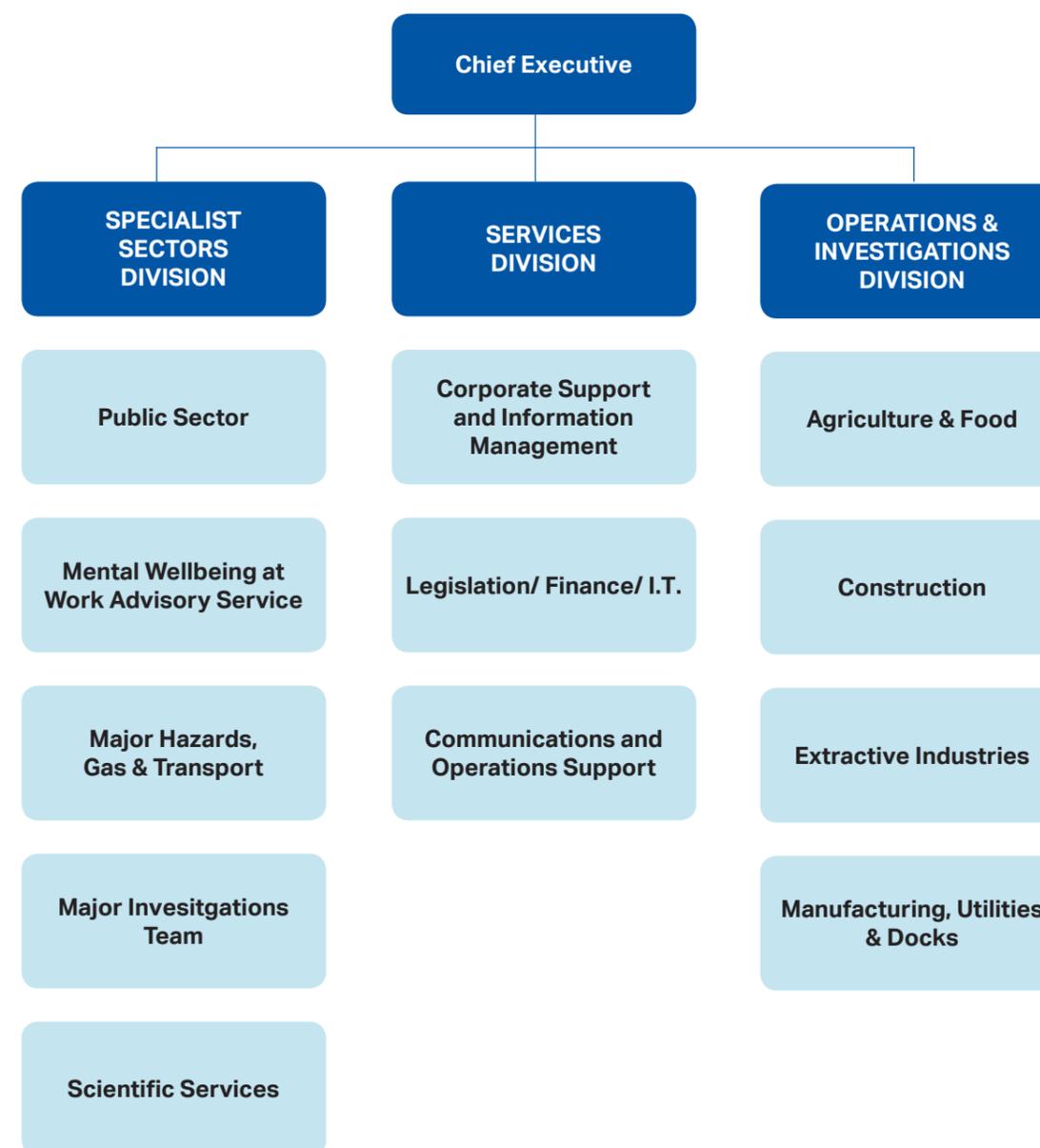
No board member, key manager or other related parties has undertaken any material transactions with the Health and Safety Executive for Northern Ireland during the year.

14. Events after the reporting period

The Accounting Officer authorised the issue of these financial statements on 27 June 2017.

Appendix 1

HSENI ORGANISATION STRUCTURE 2016-17



Appendix 2

FATAL ACCIDENTS 2016-2017 (Total = 16; HSENI enforcement responsibility only)

Occupation (Age)	Employment Category	Description	Date
Agriculture			
Farmer (53)	Self-employed	Was killed by a bull on his home farm. It appears that the farmer was moving the bull across the open yard when it attacked him.	23/04/16
Farmer (57)	Self-employed	Died while cutting hedge with a chainsaw on his farm in Derrygonnelly.	30/06/16
Farmer (30)	Self-employed	Died when clothes became caught in grain auger in combine harvester.	11/09/16
Farmer (52)	Self-employed	Died by drowning in slurry tank on his farm on Coagh.	14/10/16
Farmer (73)	Self-employed	Farmer's wife killed while helping husband move cattle on their farm in Garvagh.	19/10/16
Farmer (75)	Self-employed	Killed by Limousin bull on his farm in Omagh.	28/03/17
Food manufacturing			
Forklift Driver (51)	Employee	Died when crushed between two machines in Omagh.	14/07/16 Died 16/07/16
Admin Business (33)	Employee	Died when telescopic handler fell forward in Lurgan.	11/08/16
Construction			
Construction Worker (38)	Self-employed	Died while working on lampposts in Warrenpoint.	30/09/16
Subcontractor	Employed	Died while working on a roof in Belfast and fell through a panel.	03/12/16
Builder (70)	Self Employed	Died after falling from a ladder in Belfast.	29/03/17
Health			
Patient (102)	Member of Public	Died in a care home in Strabane.	15/06/16
N/A (82)	Member of Public	Died following a fall in a care home in Newcastle.	16/07/16
N/A (88)	Member of Public	Died in care home after choking on a piece of food.	21/11/16
Other			
Gardener (51)	Member of Public	Died after a fall from a ladder while cutting trees in Kells.	20/08/16
Stevedore (36)	Employed	Died when equipment collapsed at Belfast Harbour Estate.	21/03/17

Appendix 3: Prosecutions 2016-17

JDM Property Limited

On 7 April 2016, Belfast-based company JDM Property Limited was fined £9,000 plus costs of £1,700 after pleading guilty to three breaches of health and safety legislation.

The case arose following a Health and Safety Executive for Northern Ireland (HSENI) investigation into an incident on 7 February 2014 when workers were exposed to asbestos fibres during refurbishment of the Devenish Complex, Finaghy Road North, Belfast.

JDM Property Limited were contracted to undertake and manage refurbishment of the premises. The investigation found that prior to the work commencing, JDM Property Limited failed to ensure that asbestos had been identified and dealt with in the premises. During the refurbishment works, Asbestos Insulation Board (AIB) was broken up and several employees on site were exposed to asbestos fibres that were released.

McGoldrick Enterprises Ltd

On 6 May 2016, McGoldrick Enterprises Ltd, trading as Maine Private Nursing Home, was fined £10,000 plus costs of £8,279 at Antrim Crown Court for health and safety failings which led to the death of a 51 year old resident.

The HSENI investigation related to the tragic death in April 2013 of Mary Dowds at her nursing home in Randalstown Co. Antrim. Ms Dowds, who had physical and learning difficulties, was placed in a care chair with the use of a lap-belt. Mary was then left in her room unattended and inadequately observed,

and was later found strangled by a poorly adjusted seat restraint as a result of slipping from her chair.

Ready Egg Products Ltd

On 3 June 2016, Ready Egg Products Ltd was fined £7,500 plus costs of £1,033 at Omagh Crown Court for health and safety failings that led to the serious injury of an employee.

HSENI investigated the incident at the Ready Egg premises, Lisnaskea, on 21 August 2014. A 56 year old employee with the company was injured when his hand was pulled into an unguarded conveyor roller while he carried out routine machinery maintenance. Sadly, as a result of his injuries, and after a number of operations, the employee lost all the fingers on his right hand.

The machine, a manure dryer common in egg production plants, had been supplied in 2012 without the appropriate guarding but was being used in the production process in this dangerous condition. At no time did the company recognise the need to guard the conveyor thereby exposing employees to significant risk of injury for some time.

Burke Shipping Services Limited

On 13 September 2016, At Londonderry Crown Court, Burke Shipping Services Limited was fined £15,000 plus costs of £800 for three health and safety breaches.

The HSENI investigation related to an incident on 20 August 2015 in which three male employees fell from a suspended work platform. The three employees were ejected from the platform as it was being used to

remove them from the cargo hold of a ship they were emptying at Lisahally Terminal. The men fell a distance of between four to five meters and each received numerous fracture injuries.

The investigation found that the work platform was not properly attached to the crane and overturned as it was being lifted. The particular work platform should also not have been used for the purpose of lifting and moving personnel.

Vertase FLI Limited

On 27 February 2017, at Dungannon Crown Court, Vertase FLI Limited, a company based in Bristol, was fined £6,000 plus costs of £1,033 for one health and safety breach.

The HSENI investigation related to a workplace incident on 26 May 2015 in Omagh. Vertase FLI limited was contracted to carry out a lining project at a mining site in the Gortin area of Co Tyrone, which involved welding large rolls of lining membrane together on reclaimed land. The incident occurred when workers were tasked with unloading a delivery of the geotechnical lining membrane from a curtain sided lorry.

The rolls of membrane had been transported on curtain-sided trailers and were being off-loaded on site using straps attached to lifting chains suspended from an excavator.

However the rolls of lining had moved during transport from the manufacturer. On opening the curtain side it could be seen that the rolls were unstable, but Vertase FLI Limited did not put sufficient measures in place to stabilise the load or to remove personnel from the area. As a result, an employee working for them was struck by a falling roll of lining membrane, weighing approximately half a tonne, sustaining serious injuries.

Mid Ulster Contracts Ltd

On 10 March 2017, Mid Ulster Contracts Limited was fined £50,000 at Londonderry Crown Court for Health and Safety failings which led to the death of an employee.

The HSENI investigation related to an incident at a construction site at Culmore Road in Londonderry on 6 November 2014.

Mr Phillip Fenwick was assisting in a lifting operation of a roof truss, which was being hoisted by its apex using a homemade lifting accessory. During this operation Mr Fenwick was struck on the head by the roof truss, sustaining a fractured skull and tragically died the following day from his injury.

Norman McKenzie

On 10 March 2017, Portadown builder Norman McKenzie was sentenced at Craigavon Crown Court for Health and Safety failings that led to the death of a worker and caused injury to another. The client, a farmer Ivan Reilly was sentenced at a previous hearing on 3 March 2017.

Mr McKenzie pleaded guilty to manslaughter and was given a 15 month custodial sentence suspended for three years. He was also fined £3,000, while Mr Reilly was fined £1,500.

Today's judgement follows a joint PSNI and HSENI investigation into the fatal incident which occurred on 20 January 2015 on Mr Reilly's farm on the Derrycarne Road, Portadown. Norman McKenzie was hired by Ivan Reilly to assist him in building a 3-bay farm shed at his premises at Derrycarne Road. However, no safety precautions whatsoever were in place to protect workers from falling while sheeting the high roof of the shed, and the situation further exacerbated by the fact that it was raining.

As a result, workers Petyo Hristanov and Millen Dimov both fell from the roof. Tragically, Mr Hristanov died as a result of his fall, while Mr Dimov received minor injuries.

Health and Safety Executive for Northern Ireland

83 Ladas Drive, Belfast, BT6 9FR, Northern Ireland

Telephone: (028) 9024 3249
Helpline: 0800 0320 121
Textphone: (028) 9054 6896
Facsimile: (028) 9023 5383
Email: mail@hse.gov.uk
Web: www.hse.gov.uk

A large type version of this text is available on request from HSENI.
The text of this document is also available on the HSENI website: www.hse.gov.uk
ISBN 978-1-906452-26-1

