



Notes to Control & Supporting Document in SMS

- Maintain most updated version of control document
- Revised according to the site progress & activities
- Control document should be clearly documented in safety plan
- The records/appointment letter etc. used as supporting documents for safety audit should be the same as documented in safety plan
- Safety training record, safety working procedure, inspection record should be aligned with arrangement in safety plan, risk assessment results & method statement.



Example of Control Document

Section No. 11
Accident and Dangerous Occurrence

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Accident Investigation

In safety plan stated investigation should be carried out for accident or dangerous occurrence if the injury leave is more than 30 days. The requirement for prompt investigation was not mentioned in the safety plan.

- A total or partial collapse of any overburden, face, tip or embankment within a quarry.
- The overturning of, or a collision with any object by -
 - (a) A bulldozer, dumper, excavator, grader, lorry or shovel loader, or
 - (b) A mobile machine used for the handling of any substance in a quarry.

REPORTING PROCEDURES

Any serious injury or dangerous occurrence shall be reported to Contract Manager within 24 hours by Project Manager / Site Agent.

Procedure for reporting (Appendix 11/1, 11/2 and 11/3).

INVESTIGATION

- 3.1 Project Manager / Project Supervisor / Chairman of Site HSE Committee with assistant from HSE Officer shall carry out investigation for the accident / danger occurrence if the injury leave is more than 30 days.
- 3.2 Witness shall give a detail statement to HSE Officer.
- 3.3 Examine all evidence on the scene and take photo for record if necessary.
- 3.4 Determine the actual or detail the most probable cause of the accident.
- 3.5 Establish the cause of accident and recommend remedial action to prevent recurrence.



Example of Supporting Document

Accident Investigation Report

Some of the essential information related to the accident was missing, such as the type of shoes the worker was wearing, any witness, any cordon off procedure done when the formwork release agent was applied to the formwork.

Since the root cause of the accident was not identified in the report and the effectiveness of the preventive measures was in doubt.

*說明傷者當時正在進行的工作 State what the Injured Person was doing at the time :

The I/P was cleaning at the accident scene, the main corridor of Wing C&D, 15/F of Block 1.

請詳細敘述事故如何發生 Describe in **DETAILS** how the incident happened :

She slipped on the slab formwork at the accident scene and injured her left hand. She then went to United Christian Hospital for treatment by herself.

DETAILS OF INCIDENT 事故詳情

現場環境：Circumstances of incident scene:

1. No obstructions at the main corridor revealed by the I/P at the accident scene.
2. At the time the accident happened, the main corridor was bare slab formwork without steel fixed on the top.

FINDINGS 調查發現

1. It was a rainy day on the day of accident.
2. Formwork release agent was applied on the formwork.

糾正行動 CORRECTIVE ACTIONS

1. During the construction of working floor, information/warning shall be given to workers about effect of adverse weather condition if possible.

建議預防行動 PREVENTIVE ACTIONS RECOMMENDED

1. During or after adverse weather, the workers on site shall be aware of the slippery floor especially on slab formwork with oily formwork release agent applied.

Example of Supporting Document

Risk Assessment

For dismantling of gondolas, the severity and consequence for all the hazards were rated level 1 (i.e. slight & improbable). The quality of risk rating is Unacceptable.

工程種類: 吊船拆卸 修訂評估編號: 3 工程經理姓名、日期及簽署: _____
 編碼: 118

程序	危害	受影響人士/物件	風險程度		優先次序	安全措施	負責人*	風險改善程度			
			嚴重性 X	可能性 =				嚴重性 X	可能性 =		
1 將吊船放置在地面平頂地	1 吊船翻側 2 物料下墮		1	X	1	1	IV	1	X	1	1
2 切斷吊船上電源	1 絆倒 2 洩氣危險		1	X	1	1	IV	1	X	1	1
3 將吊船上之鋼索拆去	1 物料下墮		1	X	1	1	IV	1	X	1	1
4 將吊橋夾鉗上之鋼索及獨立救生繩拆去	1 物料下墮		1	X	1	1	IV	1	X	1	1
5 拆去梯架夾鉗	1 物料下墮		1	X	1	1	IV	1	X	1	1
6 包用吊車將吊船運離地盤	1 吊船翻側 2 物料下墮		1	X	1	1	IV	1	X	1	1

Example of Control Document

Risk Assessment

1. Risk assessment was not conducted by the risk assessment team as addressed in the safety plan.
2. No risk assessment and method statement conducted for specific operation.
3. Method statement was not developed based on the results of risk assessment and nothing on safe working procedure was mentioned.

Stability Levels					
B	4	10^{-2}	Probable	Will occur several times in the life of an item	
C	3	10^{-3}	Occasional	Likely to occur some time in life of an item	
D	2	10^{-4}	Remote	Unlikely but possible to occur in life	
E	1	10^{-5}	Improbable	So unlikely that occurrence may not be experienced	

Consequence:

Severity Categories	Category	Con- sequence	Degree	Description
I	I	1	minor	Functional failure of part of machine or process - no potential of injury
II	II	2	Critical	Failure will probably occur without major damage to system or serious injury
III	III	3	Major	Major damage to system and/or serious injury potential to personnel
IV	IV	4	Catastrophic	Failure causes complete system loss and/or potential for fatal injury

Fig. 1 Severity & Probability description

Consequence		Likelihood	
1 = Minor	2 = Critical	3 = Major	4 = Catastrophic
5 = Frequent	4 = Probable	3 = Occasional	2 = Remote
		1 = Improbable	

Fig. 2 Risk Chart

Risk Factor Number (Degree of Risk) = Likelihood X Consequence
 • The higher the number, the higher the risk and more safety precautions to be taken.

Priority :

Top (T) - Degree of Risk within the range 15-20
 Take action immediately and supervised by competent person

Medium (M) - Degree of Risk within the range 8-14
 Take action immediately

Low (L) - Degree of Risk within the range 1-7
 Action taken by regular arrangement.

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Example of Control Document

Training Plan

Training did not specify the safety training topics for tool box talk, trade specific Training such as lifting, formwork erection, electrical installation, as well as high risk activity training and the trades need to be trained.

Safety and Health Training Plan (For the Period of Oct 2008 to Jan 2009)

Targeted Trainee (Position)	Training Course / Topic	Objectives	Training Provider	Proposed Training Time	Training Assessment (Test / Quiz)	Qualification Obtained
All Employees	Site Specific Induction Training	To understand the S&H Policy, S&H Structure and Management System, particularly site safety requirement and safety and health knowledge for the job.	S&EO, AS&EO	Oct 08 to Jan 09	Quiz	Nil
All Employees	Site Specific Induction Refresher Training	To remind S&H awareness and be informed of any changed in S&H issues.	S&EO, AS&EO	Oct 08 to Jan 09	Nil	Nil
Relevant Employees	Tool Box Talk	To advance the awareness and knowledge on S&H issues related to the job.	S&EO, AS&EO	Oct 08 to Jan 09	Nil	Nil
Relevant Employees	Trade Specific Training	To advance particular S&H knowledge and awareness toward the specific job.	S&EO, AS&EO	Oct 08 to Jan 09	Nil	Nil
Relevant Employees	High Risk Activity Training	To provide knowledge and instruction on the correspondent control measures so as to minimize residue risk.	S&EO	Oct 08 to Jan 09	Nil	Nil
All employees	Emergency Training	To make employees familiar with the emergency plan	S&EO	Oct 08 to Jan 09	Nil	Nil

Example of Supporting Document

Noise Assessment

Poor quality of noise assessment report as the calculation of noise level was wrong. Control measures were derived even the noise level was well below the action level in the report.

Item No. 項目號碼	Brief description of area/location machinery/plant activity/task 地區/地點 機器/廠房 活動/工作簡述	Noise level 噪音級數		Daily exposure period 每天暴露時間	L _{EP,d} dB(A) 分貝(A)	No. of employees exposed 暴露於噪音中的僱員數目	Description of ear protector (if provided) 描述聽覺保護器 (如有提供)	Description of demarcated ear protection zone (comment if not demarcated) 描述聽覺保護區的劃定 (若沒有劃定請評論)
		L _{Aeq,T}	L _{peak} (where appropriate 如適用)					
1	# D84 DRILLING MACHINE	76	—	8 hrs	78	2 person	3m ear plugs.	Ear protection should be worn within 6 m area.

General comments :

Ear Protector should be worn when working nearby the Machine.
1 1.



Example of Supporting Document

Inspection Report

In the Safety supervisor's daily inspection report Form, inspection items related to excavation and passenger hoist were left blank which should be checked and recorded. (on-site visit observed excavation work & passenger hoist in use.)

一般安全檢查 (請填上良好、滿意或欠佳) General Safety Check (G = Good; S = Satisfactory; P = Poor)	星期日 Sunday	星期一 Monday	星期二 Tuesday	星期三 Wednesday	星期四 Thursday	星期五 Friday	星期六 Saturday
泥上工程 Earthwork :							
挖掘工程 Excavations		?					
坑槽 Trenches							
沉箱 Caissons							
隧道 Tunnels							
斜坡 Slopes							
其他 Others : 上落樓梯, 圍欄, 沙包及帆布							
起重機械及起重裝置 : Lifting Appliances and Lifting Gear							
起重機(例如: 塔式起重機、 龍門起重機、流動起重機等) Cranes (e.g. Tower Cranes, Gantry Cranes, Mobile Cranes, etc.)		S	S		S	S	S
絞車 Winches							
滑輪組 Pulley Blocks							
載人吊重機 Passenger Hoists							
物料或吊斗吊重機, 包括吊重機槽 Material or Skip Hoists, including Hoistway		S	S		S	S	S