



D. L. Shah Trust - ASSE HSE India 2016 Award

Program Announcement



Dear HSE Professionals in India,

As you know, ASSE Chapters in India are gearing up for its Third Professional Development Conference and Exposition, 2017 HSE India PDC , which is scheduled to take place in Hyderabad on February 16-18, 2017 (www.asseindiapdc.org). Our first such conference in May 2014 in Chennai and the second in Mumbai in October 2015, were very successful and we hope that this upcoming conference will be even bigger and better building on the success of the previous events

In order to promote and enhance the Occupational Safety and Health profession and the professionals in India, ASSE has partnered with D. L. Shah Trust and instituted national-level country-wide awards on HSE, consisting of three equal awards in these fields:

- Occupational Safety and Health
- Environment
- Sustainability

Three recipients, (HSE professionals) working in India, who are making significant contributions in Occupational Safety and Health; Environment; and Sustainability (OSH/E/S), will each receive an honorarium in Indian Rupees and an engraved statuette or a plaque. The inaugural presentation of these awards will take place at 2017 HSE India PDC to be held in Hyderabad on February 16-18, 2017

Purpose, Eligibility and judging criteria are very much available at award guide. However, for nomination and Endorsement forms please refer attachments, which are also cited on the websites of the HSE India PDC 2016 and also on the websites of all the four chapters in India. **Last Date** for nomination / submission of documents is **on or before October 31st 2016** by email to: pateljic2002@yahoo.com and yduinn@asse.org

Event Calendar

August 22, 2016	Announcement of awards
October 31, 2016	Last Date of nomination
November 15, 2016	Verify education and credentials including work location in India. And petitions will be sent out to the committee members for evaluation
December 10, 2016	Results of the Committee members deliberations shared with the Committee Chair
December 20, 2016	The Committee will hold a conference call meeting to finalize decisions to conclude three finalists
December 22, 2016	The Committee Chair will present award decisions to the DL Shah Trust & ASSE
December 27, 2016	The Committee Chair to send out Formal notification inviting to receive the awards at the HSE India 2016 PDC, Hyderabad
February 16-18, 2017	Award presentation at the PDC in Hyderabad

Best regards,

Hari K. Taneja, Chair
D. L. Shah Trust

Jitu C Patel, CPEA, Co-Chair
Awards & Honors Committee

Dennis Hudson, Ex. Dr
ASSE

- Encl : 1. Awards Guide
2. Endorsement-Form-DLShahTrustASSE HSE India
3. Nomination-Form-DLShahTrustASSE HSE India Award .

Risk Management Program for SMEs

Most OSH professionals would agree that a current evolution is underway about how we practice. About 10 years ago, the predominance of thought leaders postulating that our compliance-based approach to developing workplace safety programs had run out of steam grew. This thinking was based on a review of statistical data that showed a slowing in the reduction of fatalities and, in some cases, an increase in serious injuries that result in permanent disability or lengthy time off work. It also was not unusual for large organizations with deep pockets for OSH resources to see low incident rates of less serious injuries, but still experience multiple fatalities in a year. These awakenings cause a review of the of the basic tenets on which most OSH programs were based, and many came to conclude that the profession had been mistaken that focusing efforts on the reduction in frequency of minor incidents would lead to a simultaneous reduction in the severity of them. As discussions and debates have worked their way through the ranks of OSH professionals, what has emerged is a broad consensus that approaches that rely on compliance with mandatory regulations are not effective at managing workplace risks, however well-intentioned the underlying theme of the regulatory framework might be.

Large multinational organizations have seen more effective results with the use of the risk management approach, something that has been used more traditionally in Europe. This approach forms the basis for the publication of IRM:2002 by the Institute of Risk Management in the U.K. in 2002 followed by International Standards:

ISO 31000-2009 “Risk Management”;

ISO 31010-2009 “Risk Management-Risk Assessment Techniques” and

ISO Guide 73:2009 “Risk Management-Vocabulary”.

ISO 31004 :2014 “Risk Management-Guidance for the Implementation of ISO 31000

The risk management approach has substantially changed the way large organizations operate and approach OSH. Many have invested both money and time to train staff to be effective risk managers and implemented this approach. Many would say the results are worth the cost and are compiling extensive data sets to prove it. But where does that leave the majority of organizations that are much smaller and may be without the resources needed to develop and implement a risk-based approach? Can they hope to accomplish the same success as their larger counterparts? According to guidance from ISO, small and micro-entities (SMEs) are not typically engaged in the risk management process. The reasons vary, but resources and an awareness are the most likely culprits. This article demonstrates that organizations of just about any size can develop and implement an effective risk management program by understanding the larger picture of risk management and its essential concepts and then right-sizing as needed.

What Is an SME & How Many Are There?

The vast majority of Indian companies fit the common definitions of an SME. Merriam-Webster and U.S. Small Business Administration (SBA) both agree that an SME is a small- to medium-sized enterprise, with no more than 500 employees. The number of SMEs in India alone is roughly 36 million, and while many of those are home-based businesses employing only one person, SMEs employ approximately 80

million people. India is not alone in this regard. Canadian SMEs employ 10 million workers or 90% of the workforce (Government of Canada, 2016), and in the EU, there are roughly 10 million SMEs or 90% of all enterprises, employing 66% of all workers (European Commission, 2003). Lark (2015) believes that SMEs, while more exposed to the negative aspects of risk, are actually more able to adopt a risk management framework due to the flexibility stemming primarily from their size. By learning and applying risk management concepts, he believes SMEs can grow more rapidly and effectively (Lark, 2015).

Engaging Management

Going from a complete absence of risk management to a fully functioning program can be daunting, even more so when considering that many SMEs may not even employ a dedicated OSH professional. The best recommendation is to take one step at a time. The first part for many SMEs is finding an OSH professional who believes the process is important and takes up the cause. OSH professionals wishing to lead this type of effort in their organizations must first start by becoming the internal expert on risk management if they do not have prior experience. This means starting out by reading and understanding the current ANSI/ASSE risk management standard series which have been listed above earlier in this article.

Following this first step, the OSH professional should conduct a thorough gap analysis of the organization to determine the current status and use it to develop a customized risk management plan that addresses the means and methods required for the transition. Lark's (2015) ISO published guide for SMEs provides helpful information on this process. In addition, aligning the risk management plan to the SME's strategic plan (if one has been developed) will help sell the approach to management. The OSH professional must closely review any organizational governance procedures because governance controls the organization's activities. Risk management is simply how the organization controls its activities with regard to risk. The governance framework also helps clarify lines of management responsibility, which will be crucial for implementing any type of risk management framework and go beyond assessing into actual implementation and continuous monitoring.

Once these preparatory steps are complete, the OSH professional is now ready to engage senior leadership. Management commitment is essential for forward movement; without it the overall risk management process will likely fail to achieve its objectives. Many would argue that a partial process is better than none, and that securing a full commitment is not necessary; however but for a full-on risk management process to be effective, a shift in organizational culture and values is needed and is a fundamental part of the process. A partial implementation is at the least a waste of time and at worse communicates a poor message to the workforce. OSH professionals who want to develop a method of engaging senior management buy-in should read current literature by OSH thought leaders or look at some of the postings on Safety Differently and the case studies posted by ASSE's Risk Assessment Institute.

At the end of this process, an engaged management will have adopted a formal risk management policy that will then guide future efforts. The critical elements of this policy include the following;

- commitment to consider risk in all decision making;

- commitment to implement the 11 principles for effective risk management found in ANSI/ASSE Z690.2-2011;
- a clear statement of the risk management process objectives and how they will be measured;
- a statement of the roles and responsibilities of key personnel who will implement, monitor and review the risk management process;
- a clear commitment to provide the necessary resources (e.g., time, money) to implement the process.

Key Strategies for Implementation

If the above task has been completed successfully, the process is ready to begin with the leadership of the educated OSH professional. The rest of this article will highlight several strategies for consideration.

Find the Risk Champions

Every organization has OSH champions. They exist in all staffing levels and come from all backgrounds with regard to their passion for workplace safety. Most OSH professionals know who they are (or should) and many of them are also risk champions or can be developed into one with some time and engagement. Some of those employees may even have risk management experience from previous employment or intuitively understand the goals of risk management. Regardless, finding the OSH champions and developing them creates a contagion for the process that can spread throughout the organization, and lead to the culture transformation that is essential to achieve the overall goals.

Train Your Team & Lead Them to Success

Once the risk champions have been identified and engaged, they must be trained to conduct risk assessments. Even if they are experienced in this, it is critical to make sure the team has a common framework for understanding the process. The leading OSH professional may benefit from getting involved in some type of training first before attempting to lead others. ASSE and other professional bodies offer a Risk Assessment Certificate Program that can be helpful. This may be critical to someone with limited direct risk management experience. In larger organizations, nearly everyone is involved in a risk assessment team at some stage. A few key members may be involved in the bulk of the assessments, but just about every front line supervisor and production employee must provide some input.

Due to the size of SME's and the smaller number of risks that will need assessed, forming and training a core risk assessment team is probably a better strategy than trying to engage the majority of employees. Consider having the following employees on this core team:

- at least one or two risk champions;
- a lead member of the maintenance department;
- a front line supervisor who is involved in the area most likely to undergo a risk assessment first;

- a safety committee member, if one exists.

When initiating the risk assessment process, the general recommendation is to start where you are welcome. This is true regardless of the organization's size, but is even more important in SMEs. Finding a department or process area that welcomes risk management concepts and the team's efforts will provide payoffs in the success of the first or second assessment. In addition to finding the most welcoming place for the start of the process, consider addressing areas where there may be some immediate risk reduction, thereby providing some immediate results that can be shared not only with direct staff involved but also with senior management. Consider reviewing incident data in the organization to see where the most serious incidents have occurred. If the organization's incident history is fairly limited (as is often true in SMEs), examine precursors that have been identified as providing stronger indications of the potential for a serious injury or fatality. They include

- the use of mobile equipment, particularly in areas where there may be interaction with pedestrians;
- confined space entry;
- tasks that require the control of hazardous energy through lockout/tagout;
- tasks that require lifting of products, equipment or machinery;
- tasks that require working at heights;
- tasks that require manual material handling;
- process instability or significant process upsets;
- unexpected maintenance;
- situations that require the use of emergency shutdown procedures.

Choose Your Tools Wisely

ANSI/ASSE Z690.3-2011 and ISO 31010:2009 Risk Assessment Techniques, provides information on more than 31 different risk assessment tools. When starting a risk assessment process, it is not necessary or even desirable to utilize all of the tools. This is especially true for an OSH professional who is relatively new to the process. The good news is that the standard provides plenty of tools to cover the majority of processes in a typical SME, and these same tools are also fairly simple to implement. Once the process is underway, consider adding new tools; although, many SMEs and even larger organizations may never see the need. A summary of some of the most common tools appears below :

- Checklists: Lists of hazards, risks or control failures that have been developed from experience, either as a result of a previous risk assessment or as a result of past failures and can be used at any stage of a life cycle of a product, process or system.

- Cause-and-effect analysis: A structured method to identify possible causes of an undesirable event or problem that uses broad categories to consider all possible hypotheses of a situation leading to analysis of controls to prevent the causes.
- Consequence/probability matrix: A means of combining quantitative or semi-quantitative ratings of consequence and probability to produce a risk rating that can be reduced to an acceptable level through the identification and implementation of controls.

Learn Your SMEs Top 5 Risks & Develop an Elevator Pitch

Once the risk management process has begun, its success will be based in part on the ability of the OSH professional to be well versed in risk management and why the SME is undertaking the process. S/he will also need to establish an ongoing dialogue with senior management on the progress and path forward. This will involve periodic written reports as well as formal meetings where updates can be provided. It is a good idea to establish both of these parameters in advance and make sure they are included in the previously developed written risk management policy. However, even more than the typical written and verbal reports, an OSH professional must take the lead in being the number-one risk champion in the organization. This requires the ability to readily and easily speak to the process and the beneficial aspects of its implementation. The term elevator pitch is used to describe the importance of having the ability to quickly and succinctly describe something to an audience with limited time, typically the length of an elevator ride. The pitch must quickly capture key points and is not something that can be done by many people without much preparation and practice. The corollary to risk assessment is the ability to be always ready to provide a quick pitch about the process that can be modified to the setting (e.g., ride in the lift with the CEO, a walk on the production floor with a skeptical front line supervisor). In addition to having a few elevator pitches prepared, being able to quickly and effectively describe the organization's top five risks is also important. It is a skill highly advocated by ASSE's Risk Assessment Institute; one of the institute's videos is designed to help an OSH professional develop competencies in applying risk assessment in the workplace.

Conclusion

Risk management has, for years, been the expected method to develop and implement an OSH program in larger organizations, particularly those with a global footprint where risk management has been widely used for many years. OSH professionals in those organizations are typically skilled at the process, and know how to create and lead risk assessment teams, how to implement many of the more common risk assessment tools, and know how to utilize the risk management process to drive continuous improvement along with a reduction in the incident of injuries, particularly those with more severe outcomes. OSH professionals in most SMEs may aspire to replicate the process in their organizations but resist because of the beliefs about the intensity of the process and the need for extensive resources that may not be available. The result is an unnecessary exposure to higher risk levels if the risk management framework can be right-sized.

Readers may please note that D. L. Shah Trust brings out two e-journals on a fortnightly basis. These are mailed to those persons or institutions who are desirous of receiving them:

These two e-journals are:

1. Safety Info
2. Quality Info

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