Health And Safety In The Racing And Thoroughbred Breeding Industries

Guidelines on Good Practice
Seventh Edition – 2022

Produced by:

BHA
BRITISH HORSERACING AUTHORITY

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THE BRITISH RACING SCHOOL

nars
National Association of Racing Staff

NHC
National Horseracing College

THE NATIONAL STUD
Part of The Jockey Club

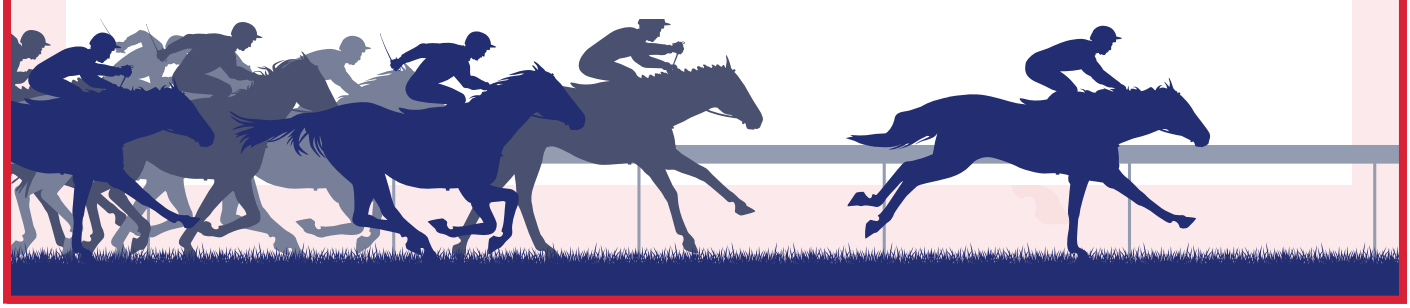
National Trainers Federation

RACINGWELFARE
Supporting racing's workforce

SRA Scottish Racing Academy

THE THOROUGHBRED BREEDERS' ASSOCIATION

We are indebted to all those who have contributed to the production of the Guide.



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Welcome to this digital seventh edition of the Guide to Health and Safety in the British Racing and Thoroughbred Breeding Industries, commonly known as the "Red Book". The aim of this Guide is to help businesses in the racing and breeding Industries meet the requirements of health and safety law, as well as incorporating good practice and procedures.
This edition is in two parts;

1. A downloadable document that is a guide to help your business meet the requirements of health and safety law.
2. A 'Toolkit' containing editable documents that you can download and complete to suit the individual needs of your business. These documents will form the basis of your Health and Safety policy and accompanying documents. There are links in this document that will take you to the relevant download and help you build your policy.

Introduction

In general, health and safety law applies to all businesses, no matter how small. As an employer, or a self-employed person, you are responsible for health and safety in the conduct of your business. You need to take the right precautions to reduce the risks of workplace dangers and provide a safe working environment.

The Government continues to emphasise the need for all businesses to implement risk-based health and safety management systems that address the requirements of the law and businesses must be able to demonstrate this.

Whilst health and safety laws can be seen as demanding, the cost of not having effective management systems in place is all too clearly illustrated by year-on-year accident and incident statistics, including the daily roll call of serious and fatal accidents. Not only does this give rise to personal tragedies, but businesses have to bear the cost through prosecution, absenteeism and increasing insurance premiums.

It is worth remembering that the standard your business needs to achieve is **what is reasonably practicable**, in other words the measures you take should be appropriate and in proportion to the size and type of your business. Crucial to that is keeping accurate records of the measures you have taken to manage health and safety, including staff training, as well as where things have not gone so well, such as accident reports that you can learn from.

This guide is intended to be used as a Tool Kit for employers to develop systems and processes to comply with health and safety law.

Section 1 of this guide will help you prepare the documents needed for you to be legally compliant. It is in six parts:

1.1 The Policy Statement – the basic objectives required by law.
1.2 Other documents – for example office handbooks or staff handbooks.
1.3 The Policy - how to achieve the objectives set out in the Statement.
1.4 Roles and Responsibilities – who does what
1.5 Accidents and Emergencies – what to do
1.6 Monitoring – making sure that you are doing all you can and keeping records

We have included in the Toolkit, a sample Health and Safety Statement and Policy and specific topical policies which you can select and adapt as necessary where they are relevant to your business.

Remember, if you have five employees or more then in order to be legally compliant you must have a written Statement and Policy that is applicable to your business. Even if you have fewer than five employees, it is still good practice to have a written down Statement and Policy.

HSE Publications

The best way to find them on the website is to use the 'search' box, inserting the subject reference or the publication reference number as the key word.

Some of the publications used in producing these Guidelines may be of particular interest, including:

- Preventing accidents to children on farms – INDG472 Preventing accidents to children on farms - INDG472 (hse.gov.uk)
- Veterinary Medicines: Safe use by farmers and other animal handlers – AS31 (rev2) Veterinary medicines: Safe use by farmers and other animal handlers (hse.gov.uk)
- Working with substances hazardous to health: a brief guide to COSHH – INDG136 (rev5) Working with substances hazardous to health: A brief guide to COSHH (hse.gov.uk)
- Manual handling assessment charts – INDG383 Manual handling assessment charts (the MAC tool) (hse.gov.uk)
- Manual handling at work: a brief guide – INDG143 (rev3) indg143 (hse.gov.uk)
- Personal Protective Equipment at Work: a brief guide – INDG174 (rev2) Personal protective equipment (PPE) at work: A brief guide (hse.gov.uk)
- Workplace transport safety: a brief guide – INDG199 (rev2) Workplace transport safety: A brief guide (hse.gov.uk)
- Protecting lone workers – INDG73 (rev4) indg73.pdf (hse.gov.uk)
- Health and safety training: a brief guide – INDG345 (rev1) Health and safety

training: A brief guide (hse.gov.uk)

- Health and Safety made simple: the basics Health and Safety Made Simple: The basics for your business (hse.gov.uk)
- Health & safety Toolbox: how to control risks at work The health and safety toolbox: How to control risks at work (hse.gov.uk)

The Health and Safety Information for Employees Regulations 1989, requires employers to either display the HSE-approved law poster or to provide each of their workers with the equivalent leaflet (available as a free download). Health and safety law poster, free leaflet and pocket card (hse.gov.uk)

Racing And Breeding Industry Contacts

British Horseracing Authority
75 High Holborn
London
WC1V 6LS

Tel: 020 7152 0000
www.britishhorseracing.com

British Racing School
Snailwell Road
Newmarket
Suffolk
CB8 7NU

Tel: 01638 665103
www.brs.org.uk

National Association of Racing Staff
The Racing Centre
Fred Archer Way
Newmarket
Suffolk
CB8 8NT

Tel: 01638 663411
www.naors.co.uk

The National Horseracing College
The Stables
Rossington Hall
Great North Road
Doncaster
South Yorkshire
DN11 0HN

Tel: 01302 861000
www.thenhc.co.uk

The National Stud
Newmarket
Suffolk
CB8 0XE

Tel: 01638 663464
www.nationalstud.co.uk

National Trainers Federation
9 High Street
Lambourn
Hungerford
Berkshire, RG17 8XN

Tel: 01488 71719
www.racehorsetrainers.org

Racing Welfare
Robin McAlpine House
20b Park Lane
Newmarket
Suffolk
CB8 8QD

Tel: 01638 560 763
Helpline: 0800 6300 443
www.racingwelfare.co.uk

Scottish Racing Academy,
c/o Kelso Racecourse,
Golf Course Road,
Kelso
TD5 7SX

Tel: 07908716564
www.scottishracingacademy.co.uk/

Thoroughbred Breeders Association
Stanstead House
8 The Avenue
Newmarket
Suffolk
CB8 9AA

Tel: 01638 661321
www.thetba.co.uk

Section 1

A framework for health and safety management
(a sample Statement and Policy can be found in the Toolkit)

This guidance will help you complete the Statement and Health and Safety Policy for your business

1.1 Statement

This states the commitment of the Business to the objectives required for legal compliance. It also contains the standard to which the Business will work.

The Business must, so far as reasonably practicable:

1. Provide health and safety controls at all levels;
2. Comply with any legislation which applies to what it does;
3. Consult its employees over matters concerning health and safety;
4. Provide and maintain safe equipment and premises;
5. Ensure the safe handling, storage and use of substances;
6. Provide information, instruction, training and supervision for all its employees;
7. Ensure that all those who work for it can safely do what they are asked to do;
8. Provide sufficient resources to maintain safe and healthy working conditions;
9. Do all that is appropriate to protect natural resources in the environment;
10. Review working conditions and revise this policy regularly at not more than three-yearly intervals, and whenever new equipment and/or activities are introduced.

This will then be signed by the owner of the business, dated, and the date for review indicated.

1.2 Other Documents

Those documents which are not directly referred to in the Policy, but need to be read in conjunction with it, for example:

1. Any relevant applicable agreement between the Business and the National Trainers' Federation and the National Association of Racing Staff.
2. Employee handbook.

1.3 The Policy

This is how to achieve the objectives of the Statement. It falls into a number of distinct parts:

1.4 The Organisation - roles and responsibilities

Everyone in the Business has a role to play. The organisational structure of the Business needs to be clearly set out so that everyone knows who does what, their responsibilities and obligations, and how they may be contacted. It starts with:

1. Ultimate legal responsibility – this will be with the owner(s) of the Business;
2. The manager (if any) to whom the owner(s) delegates the management of the Policy to see that it is carried out. The manager(s) will direct others in the Business. Depending on the structure of the Business, an owner may in fact be the manager. Whoever has this role has legal obligations arising from the Policy;
3. The staff with day-to-day responsibility for implementing the Policy – who may, depending on the structure of the Business, be the owner, manager, or a supervisor, foreman or secretary. In the specimen Policy this is described as the yard foreman. You should adopt the terminology that is used in your business.

It is essential that whoever directs what happens in the Business has competence in health and safety matters through experience or training or appoints someone who is competent to fulfil this role. Where there is no-one with the necessary competence then external advisers should be used.

The variation in roles should be borne in mind when preparing the Policy for the Business.

A simple diagram setting out the management structure can be helpful.

Employer's Obligations

These will usually reside with the manager, if there is one, or the owner. They are:

1. To keep health and safety records comprising key documents, for example, risk assessments, accident and incident book, sub-contractors' details, employees concerns, and action taken, training and induction;
2. To discuss with employees any health and safety concerns and changes to the Policy or procedures – this is a consultation and communication process;
3. To delegate appropriately – this is the implementation of the policy, ensuring that anyone asked to do something is competent to do it.

Employees' Obligations

Their obligations are:

1. To co-operate with those responsible for health and safety matters;
2 Not to interfere with anything that safeguards health and safety;
3. To take reasonable care of their own health and safety and of those affected by anything they do.

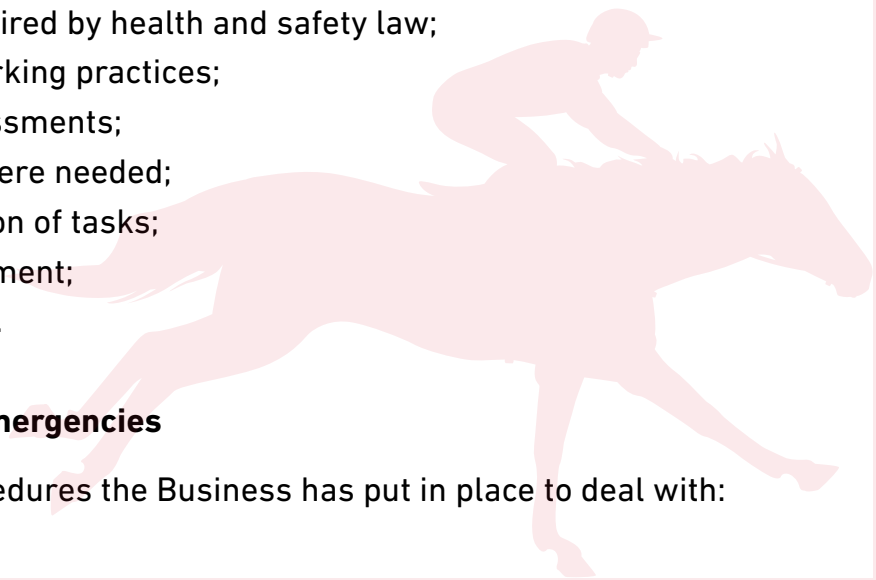
Arrangements to make work safe

Horses (particularly Thoroughbreds) are inherently dangerous and working in close proximity to them exposes employees of the Business and others to the risk of injury. Equine establishments undertake a variety of tasks which have the potential to cause harm. Examples of the main areas of risk in the Business should be considered. These are likely to include;

1. Falls, slips and trips;
2. Handling and riding horses;
3. Plant and machinery;
4. Loose horses.

The Business must look at the risks to the health and safety of its employees and to anyone else who may be affected by what it does and put in place measures to reduce those risks. The way in which the Business does that is by providing:

1. Risk assessments to ensure, as far as reasonably practicable, that all tasks are performed safely;
2. Induction and training;
3. Specific policies required by health and safety law;
4. Guidance on safe working practices;
5. Sub-contractor assessments;
6. External advisers where needed;
7. Appropriate delegation of tasks;
8. Safe plant and equipment;
9. COSHH management.



1.5 Accidents and Emergencies

Here explain what procedures the Business has put in place to deal with:

1. First aid and work-related ill health.
2. Emergencies

1.6 Monitoring

All records reflecting audits, meetings and reviews should be retained, along with the Health and Safety Statement and Policy which can be checked by the authorities if things go wrong.

Monitoring means "making sure we are doing all we can" and implementing improvements as necessary to meet your policy. You should explain how you do that. It is vital to pick up on any trends and habits leading to near-accidents that might have developed and to ensure they are addressed.



Section 2
Risk Assessments

Managing the hazards and risks in your workplace

- As trainers or stud managers, you are already using `management systems to ensure that your horses stay healthy, that they attain a standard that you and their owners expect and thus enable you to stay in business. Every day you are planning, controlling and evaluating the different aspects of your yard or stud and its staff.

- Managing health and safety is no different - you need to manage it to ensure that you, your staff and any visitors are kept safe when at work. Simply put, everyone has the right to go home as healthy and as safe as when they arrived for work!

- One element of your management of health and safety is controlling risks in the workplace. The Management of Health and Safety at Work Regulations 1999 contain the requirement to carry out a `suitable and sufficient' general assessment of risk. This means that you must assess the risks arising out of your work activity or workplace conditions to which employees, self-employed persons and others, such as visitors and contractors, are exposed.

- Identifying hazards and assessing the risks they create is essential for good management and required by law. Unless you know what hazards exist on your premises and the scale of risk they present, you cannot know whether they need to be controlled or decide how they should be managed. Risk assessments should be carried out by a `competent person', that is someone with the necessary skills, information, training, industry knowledge and experience, plus other qualities required to perform a suitable and sufficient assessment of the risks. They will also require a system to follow, such as described here and recording documents with adequate time in which to perform the task.

- This assessment of risk is nothing more than a careful look at what in your business could cause harm to people, known sometimes as 'foreseeability'. You will need to decide what measures you should take to comply with your legal duties by referring to this guidance, industry good practice and legislation. Once you have decided the level of risk, you need to put in place necessary preventative and protective measures, known as 'control measures'.

Remember:

1. A 'hazard' could be an unsafe activity or an unsafe condition that can cause harm (e.g. riding out, grooming, damaged tack, chemicals, electricity, lifting heavy bales/muck sacks etc.)

2. 'Risk' is the chance (big or small) of harm actually being done.

3. Your knowledge of what goes on at the yard or stud is essential to making an effective 'suitable and sufficient' assessment

4. Assessing risks is not an end in itself. The objective is to consider what protective measures are needed and to act to put them in place.

This process is known as 'risk assessment' and, essentially, your yard or stud's working procedures should reflect your risk assessments. Risk assessment is a mental process: you need to think about what you do and how to do it safely. Don't be put off by the phrase, it's just about carrying out the following steps:

1. Look for the hazards
2. Decide who might be harmed and how
3. Evaluate the risks arising from the hazards and take action to reduce or control them
4. Record your findings i.e. what you are going to do to control the risks
5. Review your assessments and revise if necessary, i.e. if you have reason to believe that they are no longer valid (after an accident?) or there has been a significant change in the activity, conditions or personnel.

Step 1: Look for the hazards

- Look around the workplace and watch how people work
- Use your experience of the industry - records of past incidents, accidents, health problems and near misses should help
- Ask staff what they think - they may be aware of hazards that you are not
- Read manufacturers' instructions and other information, including Industry / HSE guidance

The aim is to spot significant hazards. Every operation is different and what you consider significant at your yard or stud needs to be taken into account. There is no dividing line between what is and isn't significant - you must decide relative to your workplace.

Trivial risks, or those parts of everyday life, such as tripping over the step into the yard office or using solvent-based correction fluid in the office can be ignored.

Step 2: Decide who might be harmed and how

Identify the people who could be harmed, and how many: eg employees (particularly new or untrained, casual or part-time staff), contractors, visitors, members of the public and family -especially children.

Step 3: Evaluate the risks arising from the hazards and take action to reduce or control them

1. Plan what needs to be done and when

2. Make your plan realistic and achievable

3. Tackle the most important problems first

Think

- What would be the worst possible consequences of an accident involving that hazard?

- Could the hazard be eliminated? Is the job necessary, or could it be changed to make it safer? (e.g. do staff have to negotiate steps in order to reach the muck heap? Could it be moved and barrows used instead of sacks?)

- If the job cannot be eliminated or modified, how can it be made safer? (e.g. ensure that staff have manual handling information and training so as to carry loads correctly).

- What training and supervision is needed?

- Are any staff ignoring safety rules, thus putting themselves or others at risk?

- Do you need to provide additional personal protective equipment (PPE)? E.g. masks for dusty environments / fluorescent tabards for riding out on dark mornings etc.

Step 4: Record your findings

If you have five or more individual employees, full time or part time, you must

record the significant findings of your risk assessment stating what you will do to control the risk e.g. yard/stud rules, systems of work, procedures and what you need to do to make the workplace safe.

Risk assessments can be written in a number of different ways. Some people like to use columns for each of the five steps whilst others write a paragraph or two for each assessment and form a list of yard safety rules. What matters is that it has a clear outcome that identifies all significant hazards and describes what you intend to control them.

BUT it is important to understand that an HSE Inspector's primary concern is that you have thought about the hazards and risks and acted upon your conclusions. The documentation is there as supporting proof. It is also invaluable for instructing staff on the work systems in place at your yard or stud.

Many employers with four or fewer staff prefer to record their findings. This shows that the assessments have been carried out and can be easier to communicate to employees.

You have now completed a risk assessment!

Step 5: Review and monitor your assessments and revise if necessary

You will need to review your assessments (and your rules and procedures) to reflect any changes to the task concerned or in respect of any equipment used. Review will also be needed if there have been any significant changes to the person doing the job - for example if the job holder becomes pregnant, unwell or disabled in any way.

Remember:
If any of your staff repeatedly ignore the laid down safety rules of the workplace, for instance, if they undo the skull cap chin strap while still on horseback, this could be regarded as a disciplinary issue and in some cases failure to comply with your health and safety rules could amount to gross misconduct. For your own protection, you should note the occasions when warnings have been given and follow appropriate disciplinary proceedings if issuing formal warnings or considering dismissal.

New or expectant mothers require a further specific assessment of risk to be performed. This must take into account the additional risks posed by work practices, conditions or physical, chemical and biological agents. If risks cannot be controlled in other ways, you would need to consider altering working conditions, hours of work or activities carried out. In extreme cases, suspension on full pay might be called for. You may also need to seek medical advice.

A further group requiring specific risk assessment is that of young persons (under the age of 18). This assessment would involve looking at the existing risk assessment and seeing if any further actions are required in order to take into account the inexperience, immaturity and lack of awareness of risk etc. If the person is under minimum school leaving age, the assessment must be communicated to their parent or guardian.

Yet another aspect of risk assessment covered within the Management Regulations is that of fire – refer to the special sub-section regarding fire risk assessment.

Other Legislation

Other legislation that specifically requires risk assessment is as follows:-
The Manual Handling Operations Regulations 1992 - requires the assessment of activities that involve a risk of injury where these cannot be avoided altogether;

The Personal Protective Equipment at Work Regulations 1992 - to determine whether the PPE is suitable for the risks that cannot be avoided by other means.

The Health & Safety (Display Screen Equipment) Regulations 1992 - to assess work-stations for health and safety risks to which users/operators are exposed.

The Control of Substances Hazardous to Health (COSHH) Regulations 2002 - to identify risk in order to determine the measures to be taken to prevent or control exposure.

The Control of Asbestos Regulations 2012 - to identify the presence and type of asbestos and the degree of exposure and reduce said exposure to as low as is reasonably practicable.

The Control of Lead at Work Regulations 2002 - to assess whether exposure of employees is liable to be significant.

The Control of Noise at Work Regulations 2005 - to assess noise levels where it is suspected that they may reach certain levels e.g. the use of machinery.

The Regulatory Reform (Fire Safety) Order 2005 – to determine the measures required in order to have a safe workplace by applying basic principles and procedures to both prevent fire, detect fire and manage fire events.

The Work at Height Regulations 2005 – to assess the risks from working above or below ground level (general requirement).

Manual Handling

This is one of the highest risk areas, whilst most injuries affect the back, upper and lower limbs are also at risk.

Manual handling covers the lifting, carrying, pulling and pushing of items at work. All objects that are moved in these ways are included, whatever their size or weight, though there is clearly a greater risk from moving heavier or bulkier items. When conducting assessments, there are four main factors to consider, the TASK; the INDIVIDUAL; the LOAD and the ENVIRONMENT (the TILE principle). It is possible to conduct generic assessments i.e. those that are common to most employees, activities and sites, though these must of course be relevant to the people, conditions and circumstances involved. You must also identify all hazards and the control measures required to minimise risk, (link to download the HSE recommended MAC Tool - Manual Handling Chart).

The guidelines for manual handling suggest that in the first instance, it should be avoided altogether i.e. by using mechanical means. Where this is not possible, other controls need to be applied, such as reducing the load or two-man lifting. A typical example in the horse-related industry would be by using a muck barrow instead of a muck-sack when moving waste to the muck pit or trailer. Don't forget to risk assess this new activity however.

Some particularly hazardous activities include twisting and stooping, carrying long distances, unpredictable loads, repetition and a fast work-rate.

The key point is that you need to consider the possibilities and make your decision accordingly.

A manual handling risk assessment form is included in the Toolkit.

Personal Protective Equipment (PPE)

A skull cap to an approved standard must be worn at all times when mounted. This is required for all staff in licensed trainer's yards under the BHA Rules of racing.

It is a minimum requirement that any person mounted on a horse in the trainer's care in their capacity as a trainer must be wearing personal protective equipment which conforms to the requirements of the BHA's Rules of Racing. The risk assessment concerning the riding of horses should take account of both the activity and the ability of the rider when choosing the appropriate safety vest. The criteria for safety vests and skull caps are set out in the Rules of Racing and can be found here. (BHA's Rules of Racing)

It is also advisable that skull caps and safety vests are worn for clipping, leading, long-reining, stalls practice, lungeing, loading, teasing, putting horses on/off the horsewalker or working in the covering barn. The HSE also considers the wearing of protective footwear to be essential for many activities carried out on a yard or stud.

The question of what other PPE should be provided arises directly from your Risk Assessments. For example, you might consider that goggles should be worn by riders using an all-weather gallop. Your opinion might be affected by experience - if you have witnessed a rider suffering an eye injury caused by kick back, you might decide that goggles should always be worn in these circumstances. If so, you are required to provide the relevant equipment free of charge. However, should you consider that the risk is negligible, you may decide that goggles are unnecessary for riding out. The same principle applies to any other relevant personal protective equipment or clothing, including items that may be needed for non-equine related activities e.g. the use of machinery, pesticides or All-Terrain Vehicles (ATVs).

The key point is that you must consider the possibilities and make your decision accordingly.

An example risk assessment form, devised by the HSE, is included in the Toolkit, though you can record your findings in whichever way is best for you and your staff. Additional sample Risk Assessment forms for Manual Handling and COSHH are available on the BHA, TBA and NTF websites.

Hazards From Substances

Many substances that are safe to use as instructed and/or with the appropriate PPE can cause significant damage to the human body if used incorrectly or without the correct protection, or if spilled accidentally. Exposure to certain substances can cause immediate and obvious injury e.g. corrosive burns to the skin or might cause longer-term disease such as eczema. Alternatively certain conditions may result from repeated exposure e.g. asthma from dusty straw.

As with risks from specific activities or machinery, risks from substances need to be assessed, but they are called something different! A set of Regulations called the 'Control of Substances Hazardous to Health Regulations 2002', known as COSHH for short, sets out what is needed. These are normally referred to as COSHH assessments.

Within your COSHH assessments, you should take into account:

1. The hazards of substances or their ingredients - read the labels and any safety data sheets provided by the supplier (they are required by law to supply these when requested to do so)
2. Any possible route into the body (breathed in, swallowed or absorbed through the skin) and the worst consequences
3. The concentrations likely to cause ill health
4. The symptoms of over-exposure
5. Who could be exposed?
6. How often people work with the substance and for how long

7. `Unplanned-for' exposure such as spillages etc.
8. Storage of chemicals/medicines
9. Adequate washing facilities, especially when smoking, eating or drinking after handling harmful substances

Also remember

- Ask yourself, can you eliminate the use of a harmful substance or substitute it for a less harmful alternative, such as greener products? PPE (masks / gloves etc.) should be a last resort. Any PPE used should be suitable for the job - check with your supplier.

A sample Material Safety Data Sheet (MSDS) for 'Virkon' is available here. All potentially harmful substances should include something similar in the packaging. All Material Safety Data Sheets should be available from the product supplier and be referred to when completing your COSHH risk assessments or for First Aid purposes.

The end result should be some simple rules such as: - wear gloves and goggles when handling these chemicals.

A Helpful Reminder

The following are examples of activities, conditions and substances which you should take into account when carrying out your assessments, though this list is not exhaustive. Some of these will seem obvious, but the experience, skills and competency of staff should be considered in connection with every activity.

Take a walk round your yard or stud to see what risks and hazards can be identified. Make a note of your findings – if in case you think you might be too familiar with the set up to spot every possible danger, you could take another person with you to act as a fresh pair of eyes!

Examples of Activities, Conditions and Substances that require a Risk Assessment

Activity	**Things to consider**
Mucking out	Manual handling/dust
Grooming	Safety in boxes/temperament of horse/equipment
Feeding	Temperament of horse
Schooling	Condition of protective equipment/tack/state and situation of ground
Jump Schooling	Condition of protective equipment/tack/state and situation of ground
Lungeing	Condition of protective equipment/tack /staff head protection
Starting stall practice	Condition of protective equipment/tack/staff head protection
Horse-walkers	Trapping points/electricity; isolation of power whilst loading (see policy in Section 5 sub-section 12 'Machinery and Equipment'); loading and unloading procedure and PPE required
Solariums	Water/electricity mix; IR radiation; Eye protection (horse and employee); Light sensitivity
Vibroplate	Health of horse; lone working; manual handling; falls; vibration; automatic timer
Treadmills	Electricity; manual handling; trips and falls; speed of motion; handling (on and off)
Swimming; hydro-pool	Chemicals; safety equipment (tack and life jackets); entry and exit points; lone working; slippery surfaces
Clipping	Condition of protective equipment/electricity/staff head protection
Riding Out	Condition of ground/traffic/high visibility clothing
Horseboxes	Vehicle movements, vehicle access routes and loading/unloading
Breaking horses in	Temperament, age, competency of staff, appropriate equipment.
Horses at Stud	
Stallions	Temperament of horse/staff PPE/competency of staff
Covering/teasing	Temperament, status of horses/staff PPE/ competency of staff/ correct procedures

Examples of Activities, Conditions and Substances that require a Risk Assessment

Activity	**Things to consider**
Foals/yearlings	Temperament, age, inexperience of horse/staff PPE
Restraining horses	Temperament of horse/appropriate equipment/ staff PPE/ competency of staff
Sales work	Sales environment/ temperament/age/experience of horse
People	
Assisting the vet	Safety of medicines/disposal/needles
Farriery	Storage of gas bottles/protective equipment
Farm equipment	Guards for dangerous parts, safety devices, maintenance of machines, tractor safety/grass cutting.
Office health and safety	Workstations/seating/lighting; equipment; electricity; trips and slips
Lone Worker	Risk above average when e.g. riding out, handling horses or using machinery alone
Working outside	Exposure to sun - skin protection, dehydration, extreme weather conditions
Young people, inexperienced and vulnerable adults	Experience, physical and emotional maturity, supervision, lone working
New and expectant mothers	Health issues, physical ability, expected confinement date, history, prohibitions i.e. chemicals, lone working.
Quad bikes	Rider training, helmets, maintenance
Substances (COSHH)	
Fuels and additives	Diesel/antifreeze
Fertilisers	Storage and use
Dusts	Powdered chemicals/hay and straw
Disinfectants	Storage and use/application
Veterinary items	Storage/use/disposal
Horse care items	Storage/use/disposal
Chemicals	Weed killer and pesticides, vermin control products.

Examples of Activities, Conditions and Substances that require a Risk Assessment

Activity	Things to consider
Premises	
Electrical	Fixed wiring in yards and boxes/portable equipment checks portable equipment such as pressure washers and clippers, overhead power lines.
Gas	Serviced equipment/leaks etc
Asbestos	Location/type/managing ongoing risk
Uneven surfaces	Trips and slips/falls
Ramps	Ice/water/damaged
Fences	Damage/nails exposed etc
Muck Pits	Railings/fall prevention etc
Accommodation	Safe and secure/fit for purpose/serviced supplies/fire detection, gas safety checks and certificates, means of escape
Storage areas	Bale and fertiliser stacks.

Risk Assessments Summary

1 A Risk Assessment is needed for any activity/condition involving a significant hazard.

2 Risk Assessments should be recorded if you have five or more employees.

3 If you have fewer than five employees, it is good practice to have your Risk Assessment in written form, to provide documentary evidence that you have been through the risk assessment process. They are also good for training purposes.

4 All yards or studs should display written fire instructions.

5 Your work systems should reflect the findings of your Risk Assessments.

6 Risk Assessments should take into account all people who might be subject to the particular hazard.

7 Skull caps, body protectors and other personal safety equipment has to be supplied free of charge as Personal Protective Equipment. Skull caps should be worn correctly fastened, at all times when riding. Body protectors should also be fitted correctly and worn at all times whilst mounted. Skull caps and body protectors should conform to the criteria laid down by the BHA Rules of Racing.

8 Your decision as to what other Personal Protective Equipment should be provided will arise from your Risk Assessments.

9 Special attention has to be paid to substances that could be harmful to health. MSDS - Manufacturers' guidelines on the use of substances should be retained and updated as necessary.

Example Risk Assessment Form

All employers must conduct a risk assessment. Employers with five or more employees must record the significant findings of their risk assessment.

This sample risk assessment form comes from the HSE website. It has been started by including a sample entry for a common hazard to illustrate what is expected (the sample entry is taken from an office-based business). Look at how this might apply to your business, continue by identifying the hazards that are the real priorities in your case and complete the table to suit.

You can download, print and save this template from the HSE website so you can easily review and update the information as and when required. You will also find example risk assessments on the site at www.hse.gov.uk/risk/casestudies/ . Simply choose the example closest to your business.

Organisation name: [Business name]

What are the hazards?	Who might be harmed and how?	What are you already doing?	Do you need to do anything else to manage this risk?	Action by whom?	Action by when?	Done
Handling mares at teasing	Staff may be harmed by being kicked, bitten or trodden on by the mare	Experienced employees handle mares at teasing. New and inexperienced employees receive training before handling mares at teasing. The teasing procedure is followed by all staff. All employees wear appropriate PPE.	Ask mare owners for information on behaviour at teasing – to be relayed to staff	Stud groom to action	01/02/2021	
Loading horses into a horsebox or trailer	Staff may be trodden on, kicked or bitten by horse being loaded. Staff may be struck by the loading ramp	Experienced staff used to load horses into horsebox or trailer. New and inexperienced staff to receive training before loading horses. Staff to wear appropriate PPE. Horses to wear appropriate tack when being loaded.	Consider the temperament of the horse, use a loading bay if available. Understand how the horsebox works i.e. securing/moving partitions, opening/closing the ramp	Manager or Nominated Person		

What are the hazards?	Who might be harmed and how?	What are you already doing?	Do you need to do anything else to manage this risk?	Action by whom?	Action by when?	Done

It is important you discuss your assessment and proposed actions with staff and also communicate the final results to them.

Assessor name: **Date of assessment:**

You should review your risk assessment if you think it might no longer be valid, eg following an accident in the workplace, or if there are any significant changes to the hazards in your workplace, such as new equipment or work activities.

Risk assessment review date: .....

Fire

A Risk Assessment covering fire hazards is required for all workplaces.

Further information on the Regulatory Reform (Fire Safety) Order 2005 can be found at www.gov.uk/government/collections/fire-safety-law-and-guidance-documents-for-business, including a series of guides relevant to workplaces such as animal premises and stables. Whilst this legislation applies to England and Wales, similar requirements will apply to National Horse Ireland and Scotland respectively.

Note: It is helpful if you ask staff to download a mobile phone application (app) known as 'what3words' onto their mobile phones as this appears to be the preferred method for the emergency services to locate your exact location in the event of a call-out. The principle being that every 3-metre square on the planet has been allocated three specific words to assist location identification.

Your fire risk assessment should take into account:

1. The size and layout of the workplace
2. The work activity undertaken
3. Any equipment or substances being stored
4. The number of people likely to be present at any one time, including disabled persons, those with other special needs and visitors

You should make arrangements for:

Consulting

- The workforce about the arrangements in place

Fire fighting equipment

- **Must** be easily accessible
- **Must** be labelled, showing the extinguisher type and suitability / operating instructions / 'in date' annual test record

  Fire smothering blankets are also recommended for kitchens / rest rooms where hot food is prepared

Trained nominated persons

- To undertake special roles such as Fire Wardens or how to operate the fire fighting equipment

Emergency routes and exits

- **Must** be clearly indicated
- **Must** be free from obstructions, lit where necessary and lead directly to a place of safety

Evacuation

- You **must** have a clear procedure for people and horses

Fire Instruction Notices

- Instructions on what to do in the event of a fire **must** be displayed on the notice board and / or elsewhere, including emergency contact numbers.

  Any signs displayed should comply with safety sign size, shape and colour requirements - ask your supplier

Training for staff

- All staff **must** be trained on all of these points
- All staff **must**know how to raise the alarm

Fire Drills

- **Must** be practised at least annually, preferably six monthly. It may not always be necessary to actually sound the alarm, which might upset the horses. Try placing obstacles in the way to represent fire spots to make the drill as realistic as possible Records of dates/time/persons present **must** be kept.

Example fire instructions and fire drill record are included in the Toolkit.

Section 3
Induction and Training

It is a legal requirement that all employees be given the training necessary to ensure that they can carry out their jobs in a reasonably safe manner at all times.

All new employees or learners/trainees, whether experienced in the racing and breeding industries or not, should receive basic health and safety training at any new place of employment or learning. This process is termed "induction training".

Induction For New Employees (including trainees)

Clearly, the amount of instruction required will depend on an individual's experience and
competence. However, employers are advised not to make assumptions about the extent of an employee's knowledge and to ensure the following:

(i) formal appraisal of the various competencies and special skills required of all new employees, and

(ii) that induction training has been carried out.

Safety training should be given:

- To all new employees
- When an employee changes his/her job or responsibilities
- within the workplace
- When new equipment or new technology is introduced, or
- when existing equipment is significantly modified
- When a new system of work is introduced

Introduction training should include:

- Explanation of the yard or stud's Health and Safety Policy
- Safe working procedures and instruction on equipment to be used
- Manual handling
- Issue and use of protective clothing
- Fire procedure, location and use of fire fighting equipment
- Location of first aid boxes and explanation of the first aid arrangements
- Accident and incident reporting
- Any other job specific issues

Training should be carried out during normal working hours, but, if this is not possible, any additional hours used for training should be considered as time at work. Once completed, a record of each individual's induction training should be filed.

It is important to monitor the effectiveness of the health and safety training regime and refresher training should be given where appropriate. Also, some tasks require additional training and certification, for example, using tractors, chainsaws and applying pesticides. The local further education college can be contacted for advice.

Non-English-Speaking Employees

Non-English-speaking employees, or those with a limited understanding of English, should be provided with information in a language they can understand and may require increased levels of instruction, training and supervision. Translation services may be available locally and some publications are available in different languages on the HSE website.

Induction Of Young Persons

A young person is defined as any individual who has not yet reached their 18th birthday. Additional regulations apply to the employment of young people. Employers should take the following into account:

- Inexperience and immaturity
- Possible lack of awareness of risks and hazards
- The extent of training already received
- The supervision available (some jobs require very close supervision)
- Physical strength
- Existing risk assessments (some jobs may be considered beyond the capacity of a young person)
- Exposure to biological, chemical of physical agents

Protection of Young Persons And Learners/Trainees at Work

Government-funded education and training schemes require a contract between the yard/stud employer, the learning/training provider, e.g. the British Racing School, the National Horseracing College, The National Stud or any other approved learning/training provider, and the appropriate Government funding agency. An essential part of that contract is health and safety compliance.

The government funding agencies are responsible for ensuring that the health and safety systems of learning/training providers and employer placements

are adequate. They require learning/training providers to assess the suitability of individual yards and studs before placing learners/trainees.

The checks that must be carried out are illustrated in the induction checklist in the Toolkit.

If health and safety assessment is not carried out rigorously and written down, government funding could be withdrawn which would have an adverse effect on young people entering the industry.

In addition, effective health and safety is a key part of ensuring young people are protected in the workplace, an aspect of effective safeguarding practice. Safeguarding young people is an important activity that helps protect you from allegations of poor practice and abuse.

Learners/Trainees on Government Funded Education and Training Schemes

The checks that must be included are as follows:

1. Health and Safety Policy
2. Risk Assessments
3. First Aid, Accidents and Incidents
4. Supervision, Training, Information and Induction
5. Safety Equipment and Machinery
6. Personal Protective Clothing and Equipment
7. Fire and other Emergencies
8. Safe and Healthy Working Environment
9. Health and Safety Management
10. Management of Learners'/trainees' Health, Safety and Welfare
11. Accommodation, where provided by the employer, is suitable and safe

This list is not exhaustive and other topics will be included from time to time.

Example Induction Checklist – is included in the Toolkit

Voluntary New Employee Assessment (post job offer or contract) – is included in the Toolkit

Health and Safety Induction and Training Summary

1. All new employees and learners/trainees have to be given induction training prior to commencing work or training as soon as practical after they have started their employment or work placement.

2. The competence of new employees and learners/trainees should be assessed when they take up their new post. A record should be kept of that assessment (see attached example).

3. As a minimum, induction training should include an explanation of:

- The yard's or stud's individual Health and Safety Policy
- Legally required notices and where to find them
- The identity of supervisors and persons to approach for advice
- The welfare arrangements
- The employee's or learner's/trainee's responsibilities
- All potential health and safety hazards and the appropriate control measures i.e. risk assessments
- The proper and safe use of equipment needed in the job and the reporting of faults
- The emergency procedures e.g. fire evacuation
- The reporting of accidents, including location and completion of the workplace accident book
- The first aid arrangements, including the identity of trained personnel and the location of first aid boxes
- Disciplinary, grievance and complaints procedures and personal behavioural standards

4. A record should be kept of the induction training programme given to each new employee, learner/trainee, and retained for a minimum of four years.

5. Workers whose first language is not English should be given adequate instruction in a language they can understand.

6. Employers should also take into account any additional requirements relating to young people.

Section 4

Content of the Toolkit; Sample Policies and Guidance

This section lists the contents of the 'Toolkit'. These are editable documents that you can download and complete to suit the individual needs of your business. These documents will form the basis of your Health and Safety policy and accompanying documents. The link will take you to the relevant download and help you build your policy.

- Accidents on the gallops, procedure
- Chemicals and fluids under pressure
- COSHH Assessment Form
- Driving
- Electrical safety
- Environment and premises (see also Waste)
- Fire Instructions for Display
- Fire Drill Record
- First Aid
- Health and Safety Policy Statement (Part 1)
- Health and Safety Policy – Organisation and Arrangements (Part 2)
- Horse management
- Induction Checklist
- Machinery and equipment
- Manual Handling of Loads – Assessment Checklist
- Mobile phones
- New employee assessment
- Office
- Personal protective equipment
- Poor visibility
- Risk Assessment Form
- Safe use of All Terrain Vehicles, tractors etc.
- Smoking, alcohol and drugs
- Tack and saddlery
- Veterinary medicines and materials
- Visitors and contractors
- Waste disposal and carcass removal
- Welfare and Occupational health
- Working alone
- Working at height
- Young People and people with disabilities

Section 5
What To Do If Things Go Wrong

Emergency Procedures

We intend, so far as is reasonably practicable, to identify all potential situations that could lead to an emergency occurring. We will consider the likely hazards that could arise and put procedures in place to either prevent them or mange them. in an emergency, we expect employees to follow these guidelines though to conduct their own 'on the spot' or dynamic risk assessment, a technique used by the Emergency Services where information is taken in and used to make judgements. In most cases, we will already have risk assessments in place to support these procedures. The overall objective is to prevent harm to people, animals and then property, in that order.

In Case of Death or Injury

1 Priorities

- Contact emergency services and management.
- Administer appropriate assistance if medically qualified people are in attendance.
- Ensure nothing is moved.

2 Report to the nominated person who will:

2.1 Confirm emergency services contacted;

2.2 Secure the site of the accident – take photographs or draw a simple plan;

2.3 Ensure nothing is moved – if there has been a death this will be a potential crime scene;

2.4 Note names of those present, especially eye-witnesses;

2.5 Notify our insurers;

2.6 Where practicable, obtain written statements from eye witnesses containing:

2.6.1 Full name and occupation;

2.6.2 Background and training;

2.6.3 'What, where and when' facts - avoiding opinions - ensuring that the statement is the witness's impartial recollection of events. (Any attempt to influence it in any way is potentially a serious criminal offence;

2.6.4 Contact numbers.

3 Subsequent reporting

Apart from following RIDDOR Reporting of Injuries, Diseases & Dangerous Occurrences RIDDOR (hse.gov.uk) procedures, managers should internally assess and report to the owner with recommendations and observations. The key aim after any accident/incident is to prevent recurrence and to engender confidence that the arrangements we have in place are appropriate, and that no negligence has taken place. Co-operation and assistance with the investigating authorities is essential but need not commence with an assumption of failure in the arrangements. Accidents do happen, even in the most carefully regulated situations.

Note: A 'Raceday Safety Advice Sheet' is available on the NTF website for members.

