

To: AUDIT AND GOVERNANCE COMMITTEE

Date: 28th April 2009

Item No: 10

Report of: Head of Human Resources

Title of Report: Health and Safety Audit – Follow-up 2008/09 – Action Plan

Summary and Recommendations

Purpose of report: To provide the Committee with an update summarising the actions taken since the Health and Safety audit follow-up report was presented on 24 March 2009, and to set out the action plan for addressing the outstanding issues.

Report Approved by:

Finance: Chris Kaye: Group Accountant

Legal: Lindsay Cane: Legal Services Manager /Deputy Monitoring Officer

Policy Framework: Improving value for money and service performance.

Recommendation(s):

- 1) The Committee is requested to note the progress and action plans in response to the Health and Safety Audit follow-up; and
- 2) To note the responses to questions posed in appendix 1 of the Health & Safety Audit follow up report

Summary

The Committee received a report on internal audit progress at its meeting on 24 March 2009, and requested an action plan detailing progress in implementing recommendations at its next meeting. The report sets out our approach to corporate assurance and governance of health and safety management. The attached schedule outlines the main issues and an action plan against each item, and answers the questions posed in appendix 1 of the report.

Framework for Corporate Health and Safety Assurance and Governance

1. The Council follows an occupational health and safety management system model based on OHSAS 18001 standard.

Policy

2. The Council's Health and Safety Policy is reviewed annually by Safety Committee and by Health & Safety Performance Management Board (H&SPMB), which consists of the Chief Executive and Directors.

Organisation

3. The Council's Health and Safety Policy sets out the organisational arrangements for managing health and safety.
4. It requires Heads of Service to make their arrangements and delegate through Local Safety Arrangements. These should be reviewed annually and copies lodged with the Corporate Safety Adviser (CSA).

Planning and Implementation

5. Risk assessment lies at the heart of planning for health and safety. Risk assessment is the responsibility of Heads of Service. Risk assessments are reviewed annually and when circumstances dictate. All assessments should include action plans.
6. Copies of all risk assessments, action plans and the results of reviews are to be sent to the CSA.
7. Changes in legislation or other external drivers of health and safety improvement will be reported monthly on the H&S bulletin page of the intranet and to Safety Committee quarterly and H&SPMB twice a year.
8. Safety Committee will form a health and safety benchmarking working group to report to Safety Committee and H&SPMB

Monitoring

9. Heads of Service are responsible for monitoring their safety arrangements, and these monitoring arrangements should be set out in risk assessments and/or Safe Working Procedures that arise from these assessments.
10. The CSA monitors completion of risk assessments, and action plans that arise from them, and reports to Safety Committee, Weekly Management Board (WMB) quarterly and H&SPMB twice a year.
11. The CSA will report any HSE enforcement activity to WMB and Safety Committee.
12. Heads of Service are required to make arrangements for accident/incident reporting. All incidents are reported to the CSA who reports statistics and trends to Safety Committee quarterly and H&SPMB twice a year.

Review

13. All Heads of Service should have arrangements for reviewing their risk assessments and procedures in the light of their incident reports.
14. Safety Committee & H&SPMB reviews corporate policy and guidance when considering corporate incident statistics, and other management information reported to it.

Audit

15. The CS is responsible for setting and health and safety audit programme and commissioning resources to deliver this programme. Audit results are reported to the relevant HoS, to Safety Committee and to H&SPMB.

Appendix 1 Health & safety audit follow-up action plan on outstanding issues

Appendix 2 Answers to questions posed in Appendix 1 of the follow-up

Recommendations

1. The Committee is requested to note the progress and action plans in response to the Health and Safety Audit follow-up; and
2. to note the responses to questions posed in appendix 1 of the Health & Safety Audit follow up report

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Background papers: none

Version number: 1

#	Recommendation	Action Plan	By whom	By When	Complete
1	Corporate Health and Safety Policy The Corporate Health and Safety Policy should be reviewed as a matter of urgency to ensure that it reflects current health and safety regulations and practices. To ensure that it is kept up to date, the Safety Committee should revisit the policy on an annual basis.	The Corporate Health and Safety Policy has been reviewed, and reflects current H&S law & practice and in the light of the audit report. It will be considered by safety committee on 22nd April and at the following Weekly Business Meeting on 27 th April	CSA	April 09	✓
			CSA	8/4/09	✓
			CSA	24/4/09	✓
2	Local Health and Safety Policies Business Unit Managers should ensure that Business Unit health and safety policies are reviewed by the Corporate Safety Advisor prior to issue. The Safety Committee should also review and approve the Business Unit policies on an annual basis, with the review documented within the meeting minutes	The Head of HR has written to all Heads of Service on 10th April 2009 setting out the requirements for consistency, and requesting that any draft policies are sent to the Corporate Safety Advisor (CSA) for approval prior to implementation. The Head of HR has written to the Head of City Works on 10th April 2009 requesting all procedures are sent to the CSA by the end of April 2009 who will review these by within two months of receipt. The Head of HR has written to the Head of OCH on 10th April 2009 asking him to submit all existing policies for review by the end of April. These reviews will be completed by end of May.	Head HR	10/4/09	✓
			Head CW	30/04/09	
			CSA	30/06/09	
			Head OCH	30/04/09	
			CSA	31/05/09	

#	Recommendation	Action Plan	By whom	By When	Complete
3	<p>Risk assessment completion - The Corporate Safety Advisor should inform Strategic Directors and Business Unit Managers of the mandatory requirement for risk assessments to be completed for each Business Unit on an annual basis. The Corporate Safety Advisor should instigate training for Business Unit Managers on how risk assessments should be completed.</p>	<p>The requirement to copy risk assessments to the CSA is in the Council's Health and Safety Policy that was agreed in April 2008. The Head of HR has written to all Heads of Service 10th April 2009 reminding them and asking them to send all risk assessments to the CSA, along with an assurance that all risks are covered – or an indication of outstanding assessments with a plan for completion. The CSA will collate, assess and report on completion on a quarterly basis to Safety Committee twice a year to H&S PMB. Risk Assessment Training for 4 remaining business units will be delivered in May 2009</p>	<p>Head HR</p> <p>CSA</p> <p>CSA</p>	<p>10/04/09</p> <p>July 09 – ongoing</p> <p>June 09</p>	<p>✓</p>

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4	<p>Risk assessment monitoring The Strategic Directors should ensure that their respective Business Unit Managers have completed the risk assessments. Business Unit Managers should inform the Corporate Safety Advisor on an annual basis that the risk assessments have been reviewed and updated. In addition, the Corporate Safety Advisor should undertake periodic sample checks of Business Units to ensure that risks assessments have been reviewed and updated</p>	<p>See above Samples of risk assessments in all Service Areas will be monitored at a rate of 25% per quarter.</p>	<p>CSA CSA</p>	<p>July 09 – ongoing June 09</p>	

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5	<p>Format of risk assessments The Authority should consider adopting a standard risk assessment format which should be used by all Business Units. The Corporate Safety Advisor should ensure the risk assessment format used is in compliance with HSE guidance. The Corporate Safety Advisor should provide support to Business Units to ensure that risks assessments have been completed appropriately and comprehensively.</p>	<p>See above</p> <p>All risk assessments have a common format – they must contain core elements in a defined order. Beyond this Service areas can adapt their risk assessments into forms that meet their particular needs and the job of the CSA is to assure the Council that these forms capture the essential data and decision making involved in the assessment process. CSA reports on risk assessment completion will ensure that they are completed appropriately and comprehensively</p>	CSA	immediate reporting quarterly	
6	<p>Risk assessment action plan The Corporate Safety Advisor should inform Strategic Directors and Business Unit Managers of the requirement for risk assessment action plans to contain measurable or timely actions. Monitoring of action plans should be carried out by management and the Corporate Safety Advisor to ensure that actions are being completed appropriately.</p>	<p>See above</p> <p>Reporting on risk assessment completion will include the extent to which action plans are integrated into the RA process and sampling of action plan completion will be carried out</p>	CSA	Immediate reporting quarterly	

#	Recommendation	Action Plan	By whom	By When	Complete
7	<p>Health and safety induction training A review of the Compel system should be completed to ensure that all staff have received appropriate Health and Safety training. Where staff have not received training this should be completed as a matter of urgency. All new members of staff should attend the health and safety induction training with attendance recorded by the course leader and then input onto the Compel system. The Authority should consider the use of on-line induction, and Health and safety training through electronic media. The Corporate Safety Advisor should review the Compel records to ensure all new employees have received the appropriate health and safety induction.</p>	<p>Induction training including that for health and safety is currently being reviewed (by the Organisational Development & Learning Team).</p> <p>In the meantime the OD&L team is producing a list of all staff who have no record of having received a safety induction, and a learning package, currently in development, will be made available to these people.</p> <p>In future take up on safety induction will be reported to Safety Committee and H&SPMB twice a year.</p>	<p>ODL</p> <p>ODL</p> <p>CSA</p>	<p>1 July 09</p> <p>31 May 09</p> <p>4 May 09</p>	

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8	<p>Health and safety work based training A review of specific work based training should be carried out by each Business Unit to ensure that health and safety training is up to date. As a result of the findings of the above review, a health and safety training plan should be developed corporately. In addition, monitoring of individual employee's training should be carried out to highlight areas where training has not been completed within agreed timescales. Where timescales have lapsed, training should be provided.</p>	<p>The Appraisal process is currently under review by other colleagues in the Organisational Development and Learning Team and the CSA will ensure that Safety competencies are reflected in this review. The new proposals are due to be in place by 31 July 09</p>	ODL	31 July 09	

#	Recommendation	Action Plan	By whom	By When	Complete
9	<p>Accident forms Business Unit Managers should be reminded to forward all accident forms to the Corporate Safety Advisor when they occur. The forms should be accompanied by a cover sheet, to identify the Business Unit and the number of forms submitted. Where no accidents/incidents have occurred in a quarter, the Business Unit Managers should document this and inform the Corporate Safety Advisor using a nil return. The Corporate Safety Advisor should then monitor the receipt of accident form returns via a control log.</p>	<p>New Form pads complying with the audit recommendation are at the printers. They will be distributed and the old pads recalled by end of April 2009</p>	CSA	30 April 09	
10	<p>Management reporting - The Corporate Safety Advisor should present the accident statistics to the Safety Committee in a tabular or chart format, so that accident trends can be easily identified. Example charts could be: - Accidents by type; - Accidents by cause; or - Accidents per Business Unit. Where common themes arise, these should be investigated separately and appropriate action taken, for example, additional work based monitoring/training.</p>	<p>Health and Safety Performance Management Board (which meets twice a year basis) will review incident rates and a standing item on the agenda, including: Frequency and Severity rates across Services and trends over previous 5 years; reports on risk assessment completion; Induction uptake; Insurance Claims.</p>	CSA	4 May 09	

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11	<p>Health and safety monitoring A form of health and safety quality assurance / audit / inspection should be developed and actioned by the Corporate Safety Advisor. This should include a programme of random and planned reviews and reviews of risk assessments.</p>	<p>A revised inspection and audit plan is completed and assistance is being sought through the Council's procurement regime which will enable the Council to meet its objectives under this requirement through using an external supplier who will complete audits of Service Area's safety management arrangements</p>	CSA	30 May 09	
12	<p>Corporate health and safety indicators/targets The Authority should develop a suite of corporate health and safety performance targets. For example: 100% completion of annual risk assessment within 12 months; 95% completions of actions within agreed timescales; • review and authorisation of incident forms within 3 working days of incident; • health and safety induction training to be provided within 1 month of joining.</p>	<p>At its first meeting, on 18 May 2009 the Health and Safety Performance Management Board will consider a paper on suggested improvement targets based on HSE guidance.</p> <p>At its April 22 meeting, Safety Committee will be asked to nominate members to a benchmarking working group, which can gather data from other Councils to inform further target setting.</p>	CSA	4 May 09	

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13	<p>Stress management The Authority should review the stress management work undertaken at City Works and consider if this should be introduced in other parts of the organisation.</p>	<p>The Council is part the HSE Management Behaviours and Stress Research Consortium. A project team meeting will take place on 20th April to formulate plans for incorporating consortium research findings into Council Management Development plans.</p>	CSA/ODL	20April 09	<p>Complete ✓</p>

Appendix 2

Answers to questions* posed in Appendix 1 of the Audit follow-up (*from the IoD/HSC guide to Leading Health and Safety at Work)

How is the Executive and Members commitment to H&S demonstrated?	Health and Safety Performance Management Board will consider the IoD/HSC guidance on leading health and safety at work and set out how they can demonstrate their commitment..
What is done to ensure appropriate level of Executive and Member review of H&S?	Health and Safety Performance Management Board is formed by the Chief Executive and Directors.
What has been done to ensure that Authority receives competent H&S advice?	The Council employs two full time qualified Health and Safety Advisers
How is the Executive and Members ensuring all staff are training and competent in their H&S responsibilities?	In addition to the appraisal system outlined at item 8 above, a skills mapping exercise associated with our management development programme will include an assessment of health and safety competency, and training will be provided where necessary
How confident is the Executive and Members that the workforce are consulted properly on H&S matters, and their concerns are reaching appropriate levels?	The Council has a Corporate Health and Safety Committee which meets quarterly, and in addition has more frequent meetings of departmental groups in larger, higher risk service areas
What systems are in place to ensure the Authority's H&S risks are assessed, and that sensible control measures are established and maintained?	See items response to items 3-6 above
How well do Executive and Members know what is happening on the ground, and what audits or assessments are undertaking to inform Executive and Members about what the Authority and contractors actually do?	Health and Safety Performance Management Board will receive reports on audit and assessment activity.
What information do the Executive and Members receive regularly about H&S e.g. performance data, reports on injuries and work related ill health?	See response to item 10

<p>What targets have been set to improve H&S? Does the Authority benchmark?</p>	<p>See response to item 12</p>
<p>Where changes to working arrangements have significant implications for H&S, how are these brought to the attention of the Executive and Members?</p>	<p>The Council's safety policy has incorporated the need for Heads of Service to raise these changes through WMB and Safety Committee. The Head of HR wrote to Heads of Service on 10th April 2009 outlining this requirement and setting out how the Council expects this needs to be done.</p>