

To: AUDIT AND GOVERNANCE COMMITTEE

Date: 30th June 2009

Item No:

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: James Pownall: Legal Services

Policy Framework: Improving value for money and service performance.

Recommendation(s):

The Committee is requested to note the progress and action plans in response to the Health and Safety Audit follow-up.

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. Also attached is the first report to Performance Board.

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 Performance Board (PB), which includes 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. The Head of Human Resources wrote to all Heads of Service requesting that copies of all risk assessments, action plans and the results of reviews be sent to the CSA. A table summarising their responses is included as Appendix A to the Performance Board Report
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 PB twice a year.
8. Safety Committee will form a health and safety benchmarking working group to report to Safety Committee and PB

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 Business Meeting (WBM) quarterly and PB twice a year. A copy of the report to 9th June PB is at Appendix 2. The CSA will report any HSE enforcement activity to WMB and Safety Committee.
11. 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 PB twice a year.

Review

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

Audit

14. The CSA is responsible for setting the health and safety audit programme and commissioning resources to deliver this programme. Audit results are reported to the relevant Head of Service, to Safety Committee and to PB.

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

Appendix 2 Report to Performance Board, 9th June 2009 including Appendix 2A Risk assessment completion and consistency, and Appendix 2B Incident Stats Summary.

Recommendations

1. The Committee is requested to note the progress and action plans in response to the Health and Safety Audit follow-up.

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Background papers: none

Version number: 1

Appendix 1 Health and Safety Action Plan

| # | 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 | ✓ |

| # | Recommendation | Action Plan | By whom | By When | Complete |
|---|--|--|--|---|---------------------------------------|
| 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 Head CW CSA Head OCH CSA | 10/4/09 30/04/09 30/06/09 30/04/09 31/05/09 | ✓ ✓ On target ✓ ✓ |

| # | Recommendation | Action Plan | By whom | By When | Complete |
|---|---|--|-----------------------------------|--|--|
| 3 | 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. | 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 10 th 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 and Performance Board. Risk Assessment Training for 4 remaining business units will be delivered in May 2009 | Head HR CSA CSA | 10/04/09 July 09 – ongoing June 09 | ✓ Report on RA completion to Performance Board 09/06/09 Head of HR will write to Heads of Service who have not returned Assessments Managing Safely arranged for June 22-25/09 & July 20 -23/09 |

| # | Recommendation | Action Plan | By whom | By When | Complete |
|---|--|--|-------------------------|---|---|
| 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> | <p>✓ Report to Perf Board 9/6/09</p> |

| # | Recommendation | Action Plan | By whom | By When | Complete |
|---|---|--|---------|---------------------------------|---|
| 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 | <p>✓</p> <p>Report to Perf Board 9/6/09</p> |
| 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 | <p>✓</p> <p>Report to Perf Board 9/6/09</p> |

| # | Recommendation | Action Plan | By whom | By When | Complete |
|---|--|---|----------------------------------|---|---|
| 7 | 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>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 Performance Board 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> | <p>New Induction programme covering all staff to be introduced Autumn 09</p> <p>Unable to get reliable training records to complete these two items. New HR Management Information System will correct these problems starting April 2010</p> |

| # | Recommendation | Action Plan | By whom | By When | Complete |
|---|--|--|---------|------------|---|
| 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 | <p>The new appraisal system requires managers to identify Health and Safety skills training needs in all employees personal Development Plans – these PDPs will be used to help form Corporate training initiatives. Manager Training is currently taking place on the Appraisal process.</p> |

| # | Recommendation | Action Plan | By whom | By When | Complete |
|----|--|---|---------|-------------|---|
| 9 | 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. | 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 | CSA | 30 April 09 | ✓ |
| 10 | 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. | Performance Board 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 Training Insurance Claims. | CSA | 4 May 09 | 9/6/09 ✓ ✓ See item 7 No up-to-date insurance data available at time of preparation – will report to next Performance Board |

| # | Recommendation | Action Plan | By whom | By When | Complete |
|----|--|---|---------|-----------|---|
| 11 | 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. | 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 | CSA | 30 May 09 | A programme will be developed once we have the risk assessment data collated (see Appendix 1) – In the meantime a programmes has been set for audit of welfare provision. |
| 12 | 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. | 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. 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. | CSA | 4 May 09 | Performance Board 9/06/09 Nominations made at Safety Committee |

| # | Recommendation | Action Plan | By whom | By When | Complete |
|----|---|---|---------|---------------|----------|
| 13 | 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. | The Council is part the HSE Management Behaviours and Stress Research Consortium. A project team meeting will take place on 20 th April to formulate plans for incorporating consortium research findings into Council Management Development plans. Agreed to introduce 360 tool to develop positive management behaviours – currently under development by consortium | CSA/ODL | 20April 09 | ✓ |

Appendix 2 Report to Performance Board 9th June 2009

Health and Safety Performance Monitoring

Audit and Governance Committee agreed an audit recommendation that the Council Our Health and Safety Policy states that the effective management of health and safety risks is an integral part of our business performance. It commits us to continuous, cost-effective improvement in our health and safety performance. This report provides basic data on health and safety, and proposes targets for improvement. These reports will continue to be reported to Audit and Governance Committee and Performance Board on a quarterly basis.

Risk Assessment Completion

Our safety policy states that we will take a systematic approach to identifying and assessing risks.

Appendix A outlines the results of a recent trawl of risk assessments Service areas. The Head of HR will be writing to Directors and Heads of Service where risk assessments have not been returned or are incomplete, requesting targets for completion and return. These will be reported to Performance Board.

Enforcement Activity

The Council has not been subject to any HSE prosecutions or enforcement notices during the last five years. Contact in the last year has been confined to a few calls following up incident reports and a complaint.

In the last five years the Council has been subject to four enforcement notices under the Regulatory Reform (Fire Safety) Order relating to absent or inadequate fire risk assessments at the Covered Market, Cowley Community Centre, Quarry Pavilion and Commercial rental property at 29-31 George Street. All but the latter are complied with and withdrawn.

Annual Incident Rate Trends

The attached charts at Appendix B show accident frequency and severity rates for the last five years. Far and away the highest frequency and severity rates occur in Oxford City Homes and City Works, so these are reported separately.

Notes

Accident data is presented as standard rates to allow easy comparison of data

Frequency Rate = $\frac{\text{no of incidents} \times 100000}{\text{Total Hours Worked}}$

Severity Rate = $\frac{\text{days lost} \times 1000}{\text{Total Hours Worked}}$

i) The low incident rates for City Works from 2004 – 2006 were caused by a failure to report to the Corporate Safety Adviser, which was eventually addressed at the end of 2005.

ii) The significant reduction in both incident rates for City Works between 2007/8 and 2008/9 coincides with the move from bag collection to wheelie bin collection. (Piloted across a third of the City from October 2006 and across the City in April 2007)

Target Setting

In its revitalising Health and Safety initiative, the HSE set targets of 10% reduction in numbers of fatal and major accidents, and a 30% reduction in days lost over the ten years from 2000 – 2010. The former target, because it focuses on fatality and major injury, is not easily applicable to the City Council (because the rate of these accidents is so small). The latter target is readily applicable – and is in line with our priority to reduce over-all sickness absence.

The Waste Industry Safety and Health Forum (set up by the waste industry and endorsed by the HSE) has set a target of 10% annual reduction in incident rates across the industry – more ambitious than the HSE's. It is recommended that we set this target for City Works and apply this to Oxford City Homes, too. It is recommended that we set a similar target of 10% per year reduction in days lost due to injury.

How can these targets be met?

Refuse and Recycling has achieved significant reductions in frequency and severity rate primarily through reducing the need for risky manual handling. Further reductions will not be so easily won. Where other waste collection organisations have reported further reductions, these have been made through the application of behavioural modification programmes – a process of instant feedback on safe and unsafe behaviours by trained observers in the field.

Reductions in severity rates, particularly at Oxford City Homes, can be made through more active management of long term sickness and a greater commitment to managed rehabilitation in the workplace. This will be a priority for our Occupational Health Service Providers (tender evaluation for this contract commences 15/6/09)

Recommendation

Performance Board is recommended to agree the accident reduction targets and to note that they will receive quarterly reports on performance against these them.

Performance Board is asked to note the Risk Assessment Completion summary and note that the Head of Human Resources will write to Heads of Service and Directors who have not returned Assessments

Appendix 2A Risk Assessment Completion and Consistency

| Service Area | Risk Assessments in place | Risk Assessment contact nominee | ID Hazard? | Who and How? | Assess Risk ? | Review built in? | Action Plan? | Complete? | Notes |
|-----------------------------------|---------------------------|---|------------|--------------|---------------|------------------|--------------|---|--|
| Business Transformation | Copier Unit only | John Wyatt | Yes | Yes | Yes | Yes | Some | Copier Unit assessment comprehensively covered Offices and Post room not covered | Copier Unit assessment comprehensively covered |
| Chief Executive's | All | Mike Newman | Yes | Yes | Yes | Yes | Yes | Yes | |
| City Development | All | Liz Godin | Yes | Yes | Yes | Yes | Yes | Office hazards all covered | Recommend consider risks for visiting officers Otherwise comprehensive |
| City Leisure | Part | Hagan Lewisman (Rest) Stuart Fitzsimmons (Parks) | Yes | Yes | Yes | Yes | Yes | No | No assessments for Sports Development activity (planned for 16/6/06) Parks service assessments comprehensive (inc FRA & legionella for Parks Buildings) |
| City Works | All | Ian Bourton | Yes | Yes | Yes | Yes | Yes | Comprehensive - Records do not identify when they have been reviewed | Risk Assessments need to be reviewed to reflect current HSE guidance |
| Community Housing and Development | CANACT only | Chased Geoff Lloyd 01/06/09 | | | | | | Only covers aggression and NEMs | |

| | | | | | | | | | |
|---|-------------------------------|------------------|-----|-----|-----|-----|-----|--------------------------|---|
| Corporate Procurement and Shared Services | All | Jane Lubbock | Yes | Yes | Yes | Yes | Yes | Only covers lone working | |
| Customer Services | FRA for Customer-Connect Only | Paul Wilding | | | | | | | |
| Environmental Development | No Return | No-one nominated | | | | | | | Safety arrangements are in place, but the do not appear to be underpinned by risk assessments |
| Finance | No Return | No-one nominated | | | | | | | |
| Human Resources | All | Mark Preston | Yes | Yes | Yes | Yes | Yes | Yes | |
| Legal and Democratic Services | All | Sue Brown | Yes | Yes | Yes | Yes | Yes | Yes | |
| Oxford City Homes | All | Martin Shields | Yes | Yes | Yes | Yes | Yes | Yes | Under review following audit recommendations July 08 |
| Policy Performance and Communications | No return | Shajaat Hussain | | | | | | | |
| Property and Facilities Management | No Return | No-one nominated | | | | | | | |

Appendix 2B - Frequency Rate trends
2004-2009



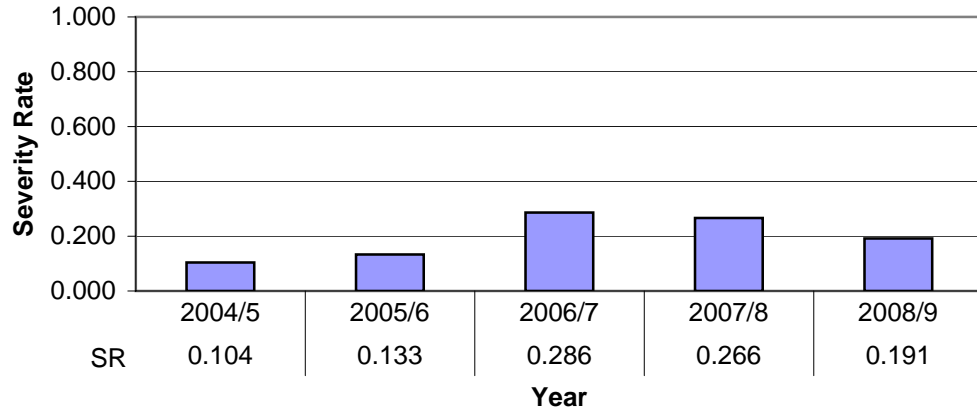
No of Incidents x 100000

Frequency Rate

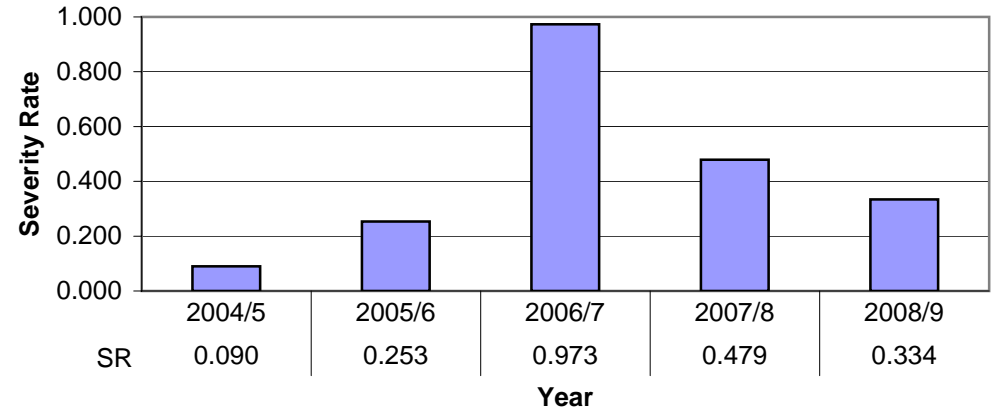
Total Hours Worked

Appendix 2B - Severity Rate trends
2004-2009

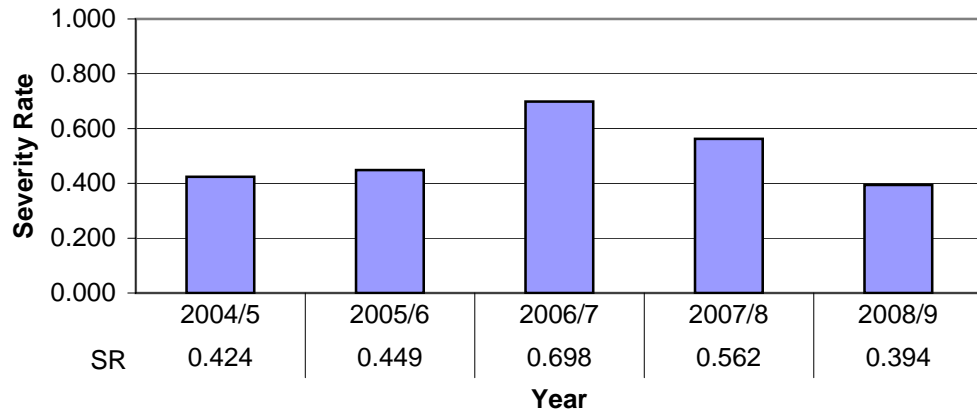
All Council



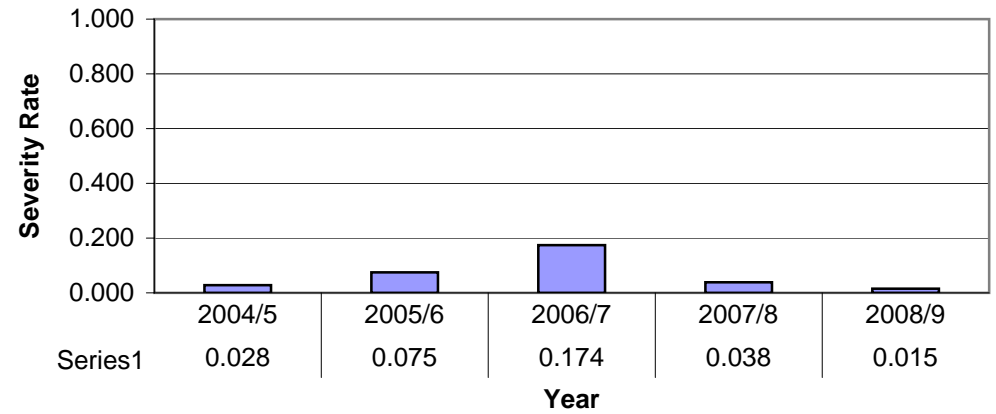
City Works



Oxford City Homes



The Rest



Total Days Lost x 1000

Severity Rate

—————
Total Hours Worked