

**TO EACH MEMBER OF THE  
AUDIT COMMITTEE**

28 September 2015

Dear Councillor

**AUDIT COMMITTEE- WEDNESDAY 30 SEPTEMBER 2015**

Further to the Agenda and papers for the above meeting, previously circulated, please find attached the following late report:

<b>Agenda Item</b>	<b>Description</b>
<b>11.</b>	<b>Health and Safety - Risk Assessments Audit</b>
	To consider the progress which has been made in relation to the recommendations arising from the risk assessments audit.

Should you have any queries regarding the above please contact Democratic Services on  
Tel: 01684 272021

Yours sincerely



**Lin O'Brien**  
**Democratic Services Group Manager**

## TEWKESBURY BOROUGH COUNCIL

<b>Report to:</b>	Audit Committee
<b>Date of Meeting:</b>	30 September 2015
<b>Subject:</b>	Health and Safety - Risk Assessments Audit
<b>Report of:</b>	Val Garside, Environmental and Housing Services Group Manager
<b>Corporate Lead:</b>	Rachel North, Deputy Chief Executive
<b>Lead Member:</b>	Councillor Mrs E J MacTiernan
<b>Number of Appendices:</b>	2

<p><b>Executive Summary:</b></p> <p>This report provides an update to Members on the progress to date of actions taken against the audit of corporate health and safety risk assessments, which was presented to Audit Committee on 24 June 2015.</p>
<p><b>Recommendation:</b></p> <p><b>To CONSIDER the progress which has been made in relation to the recommendations arising from the risk assessments audit.</b></p>
<p><b>Reasons for Recommendation:</b></p> <p>The implementation of the report and its conclusions will ensure that Tewkesbury Borough Council complies with the Management of Health &amp; Safety at Work Regulations 1999.</p>

<p><b>Resource Implications:</b></p> <p>The resource implications are detailed in the report.</p>
<p><b>Legal Implications:</b></p> <p>Tewkesbury Borough Council is obliged to comply with the Management of Health &amp; Safety at Work Regulations 1999. Completion of the actions in this report will help with compliance under the regulations for having suitable and sufficient risk assessments.</p>
<p><b>Risk Management Implications:</b></p> <p>As above</p>
<p><b>Performance Management Follow-up:</b></p> <p>A further health and safety audit will be carried out to ensure compliance with the corporate health and safety, 'Keep Safe Stay Healthy', work plan.</p>

**Environmental Implications:**

None

**1.0 INTRODUCTION/BACKGROUND**

**1.1** At the Audit Committee meeting on 24 June, 2015, Members considered the Internal Audit Plan monitoring report, in particular the audit recommendation in relation to corporate risk assessments. This report provides Members with an update on the actions to date.

**2.0 RISK ASSESSMENT AUDIT UPDATE**

**2.1** The approval process in relation to policy amendments/implementation will be carried out by the 'Keep Safe Stay Healthy' Group.

**2.2** It was recognised that a more effective IT system to enable risk assessments to be fluid with working documents and previous actions stored was required, this is now in place. The system will allow more effective monitoring on a regular basis. All existing health and safety documents will be transferred to this system by the end of October.

**2.3** In respect of risk assessments managed by the Asset Management Team, a management plan has been created to identify risk and gaps. To date the asbestos risk gap has been identified, considered, actioned and documented on the plan.

- 25 Council-owned properties are included in the management plan. Of these, nine properties are known to contain asbestos and a further two are suspected to contain asbestos. An inspection programme to monitor the identified risks is now in place to ensure management of the identified asbestos risk in Council buildings is controlled.
- Legionella update – The regulations only apply to six properties. Asset Management have been in sight of risk assessments for all the properties, management plans are also in place in relation to the risks identified; this information has not yet been recorded on the management plan but will be completed by the end of October 2015. Training on Legionella has been delivered to the Asset Management Team.
- Fire risk update – Fire risk assessments have been commissioned by Asset Management since 2013, management plans are also in place. The Management Plan will be updated by the end of October.
- Electrical risk update – All electrical installation inspections are up to date with regard to portable appliance testing. This information has not yet been recorded on the management plan, or documentation evidenced, but Property has informed the Environmental Safety Officer these tasks will be completed by the end of October 2015.

**2.4** Ground Maintenance – Upon the transfer to Ubico in April 2015 Grounds Maintenance are now covered by the current risk assessments that are in place for Ubico. The review of these risks assessments were already part of the Ubico work plan, therefore work is progressing on these. As part of the mapping and scheduling of grounds maintenance on Tewkesbury Borough Council land, and from lessons learnt from the fatality incident at Norton, site specific risk assessments are being incorporated into this work. Arrangements have been made for the Council to monitor this and report back to the 'Keep Safe Stay Healthy' Group.

- 2.5** Community and Economic Development - Risk assessments and gaps have been identified and considered, this includes lone working considerations. Both risk assessment and lone working training took place on 16 September 2015, which was bespoke to the risk assessment and lone working audit findings, and all services attended, including staff from Community and Economic Development. Therefore full awareness was given in relation to the requirements of the Risk Assessment Policy and Lone Working Policy. A further health and safety audit will be carried out within the next six months to ensure compliance.
- 2.6** Full awareness was given at the training session on 16 September in relation to the risk assessment being a working document and that all sections need to be completed to evidence all controls have been actioned, including signatures and date. Also the importance of timely reviews.
- 3.0 OTHER OPTIONS CONSIDERED**
- 3.1** None
- 4.0 CONSULTATION**
- 4.1** The Environmental Safety Officer has worked with relevant Managers. Updates and actions are reported quarterly to the Council's corporate health and safety group, 'Keep Safe Stay Healthy' Group.
- 5.0 RELEVANT COUNCIL POLICIES/STRATEGIES**
- 5.1** Risk Assessment Policy
- 6.0 RELEVANT GOVERNMENT POLICIES**
- 6.1** None
- 7.0 RESOURCE IMPLICATIONS (Human/Property)**
- 7.1** As per report.
- 8.0 SUSTAINABILITY IMPLICATIONS (Social/Community Safety/Cultural/ Economic/ Environment)**
- 8.1** None
- 9.0 IMPACT UPON (Value For Money/Equalities/E-Government/Human Rights/Health And Safety)**
- 9.1** None

**10.0 RELATED DECISIONS AND ANY OTHER RELEVANT FACTS**

**10.1** None

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**Background Papers:** Risk Assessment Audit, Audit Committee, 20th June 2015

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**Appendices:** Appendix 1 – Health and Safety Risk Assessment Final Audit Report  
Appendix 2 – Health and Safety Risk Assessment Audit  
Recommendations

**Health and Safety Risk Assessment - Final Audit Report**

**Introduction:** The Management of Health and Safety at Work Regulations 1999 requires the authority, as an employer, to make a suitable and sufficient assessment of risks presented by work activities and to identify and implement the measures/controls in order to minimise health and safety risks. To demonstrate compliance with these regulations a risk assessment policy was established which requires that each service carries out and maintains suitably sufficient risk assessments in relation to the hazards and risks within that service. The risk assessment process is currently considered through the council's 'Keep Safe and Stay Healthy' group.

**Control Objectives (CO):**

1. Risk assessments are undertaken in accordance with the risk assessment policy.

**Audit opinion**

CO	Assurance Level	Opinion
1	Limited	<p>The Risk Assessment Policy is a general policy statement setting out the commitment to managing health and safety effectively within the organisation. A review of the policy considers that it is 'fit for purpose'. A recommendation has been made to ensure the policy is reviewed regularly, the last review was carried out in 2012, and to determine the approval of the policy, if any changes were to occur.</p> <p>The current policy and supporting procedures are available on the intranet. In respect of undertaking an annual risk assessment, the majority of service areas have now complied with this requirement. A number were prompted however by the undertaking of the audit review despite a continued risk gap update being reported corporately by the Environmental Safety Officer over the last 12 months. This demonstrates the update of assessments is not a routine part of corporate business.</p> <p>Of the assessments which had not been updated and submitted for audit review or require further review, particular attention should be given to:</p> <ul style="list-style-type: none"> <li>• Grounds Maintenance – these have not been reviewed since 2011. To ensure the safety of staff, contractors and members of the public and to achieve compliance to legislation it is imperative that this review is carried out.</li> <li>• Community and Economic Development - risk gaps in relation to the activities they are involved in and some of the existing risk areas identified are still in need of review. The team are involved in many events/activities that all have risk implications that require a specific risk assessment to ensure that suitably sufficient controls are implemented to control these risks.</li> </ul>

		<ul style="list-style-type: none"><li>• Asset Management – there were gaps in the identification of key hazards in particular asbestos and legionella. In response to this, a management plan is being developed to manage these risks. This plan will also include the control of fire and electrical hazards. The completion of this management plan and implementation of the findings is imperative to ensure safety of staff, contractors and members of the public and to achieve compliance to legislation.</li></ul> <p>It is evident from a review of risk assessments generally that training is required to ensure all assessments are completed consistently and to the required standard. All services need to revisit their risk assessments to ensure controls have been actioned and if so a signature and date for this action needs to be documented.</p> <p>When updating assessments, version control needs to be improved so that the previous assessment is saved and not overwritten. The use of a document management system, such as Sharepoint could be considered.</p> <p>The number of assessments being completed should also be reviewed to identify if the process can be streamlined. Each service is completing a number of similar assessments, for example an office related assessment. Consideration could be given to producing one generic assessment though this will need to be tailored to meet specific service needs where appropriate.</p>
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**Health and Safety Risk Assessment – Audit Recommendations**

<b>Rec No</b>	<b>Risk (of non implementation)</b>	<b>Recommendation</b>	<b>Action to be taken</b>	<b>Officer Responsible</b>	<b>Implementation Date</b>	<b>Priority</b>
1	Non-compliance to Management of Health and Safety at Work Regulations 1989	The Risk Assessment Policy/Procedure should be reviewed and approved.	<ol style="list-style-type: none"> <li>1) Circulate Risk Assessment Policy to Keep Safe Stay Healthy (KSSH) Group Members for comment prior to next KSSH meeting on 17 March 2015</li> <li>2) Identify the current approval process for health and safety policies and confirm whether delegation to approve such policies and amendments should be given to the KSSH Group.</li> </ol>	 Kay Meddings        Kay Meddings	17 March 2015 (date of next KSSH Group meeting)       March 2015	N

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Rec No	Risk (of non implementation)	Recommendation	Action to be taken	Officer Responsible	Implementation Date	Priority
2	Non-compliance to Management of Health and Safety at Work Regulations 1989	Training should be provided to relevant Officers to ensure assessments are completed consistently, timely and to the required standard – to include version control.	Relevant Officers to be identified and training provided.	Kay Meddings	June 2015	E
2	Non-compliance to Management of Health and Safety at Work Regulations 1989	All services to undertake a risk assessment and establish adequate monitoring procedures to ensure the mitigation of risk.	Management directive to all services.	All relevant Managers (facilitated by K Meddings)	Immediate	E
3	Non-compliance to Management of Health and Safety at Work Regulations 1989	Consideration is given to the number of assessments that are currently produced so as to streamline the process.	Discuss at KSSH Group.	Kay Meddings	To be decided at the next KSSH Group meeting on 17 March 2015	N

**E= Essential** – Necessary due to statutory obligation, legal requirement, Council policy or major risk of loss or damage to Council assets, information or reputation. Where possible it should be addressed as a matter of urgency.

**N= Necessary** - Could cause limited loss of assets or information or adverse publicity or embarrassment. Necessary for sound internal control and confidence in the system to exist and should be pursued in the short term, ideally within 6 months.