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### ABERDEEN CITY COUNCIL

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COMMITTEE	Audit, Risk and Scrutiny Committee
DATE	26 February 2015
DIRECTOR	Ewan Sutherland, Director of Corporate Governance (Acting)
TITLE OF REPORT	Health and Safety Assurance Plan 2015/16
REPORT NUMBER	N/A
CHECKLIST COMPLETED	Yes

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#### 1. PURPOSE OF REPORT

The purpose of this report is to propose a holistic structured compliance assurance system to test the effectiveness of organisations health and safety arrangements and to seek approval of the attached Health and Safety Assurance plan for 2015/16.

#### 2. RECOMMENDATION

It is recommended that the Committee:

- a. Adopt the proposed holistic structured compliance assurance system;
- b. Approve the attached Health and Safety Assurance Work Plan for 2015/16;

#### 3. FINANCIAL IMPLICATIONS

There are no financial implications arising as a result of this report.

#### 4. BACKGROUND/MAIN ISSUES

- 4.1 The Corporate Health and Safety Committee reports to the Audit, Risk and Scrutiny Committee the remit of is to ensure the Council

meets its legal obligations through the development and approval of the Council's Health and Safety policy, including its annual review and implementation. This includes the governance arrangements for the monitoring of health and safety legal compliance, risk management and internal control arrangements. It is critical to identify, assess and provide adequate control of occupational health and safety risks arising from our work activities, ensuring risks are dealt with sensibly, responsibly and proportionately to eliminate or minimise risks.

The purpose of testing the organisations health and safety arrangements is to:

- check the robustness and effectiveness of the arrangements in place;
- establish level of compliance with legislation;
- provide assurance to senior management informing them of good practice and identified areas of improvement; and
- hold those accountable for non-compliance and not undertaking identified actions.

4.2 Assurance or governance arrangements will be tested via the following:

	Internal	External
Independent	<ul style="list-style-type: none"> <li>• Health, Safety and Wellbeing Team <ul style="list-style-type: none"> <li>- Audits;</li> <li>- Compliance monitoring;</li> <li>- Physical verification;</li> <li>- Fire Risk Assessments; and</li> <li>- Incident investigation.</li> </ul> </li> <li>• Legislation compliance, process / procedural and qualitative based checks</li> <li>• Planned and unannounced site visits.</li> </ul>	<ul style="list-style-type: none"> <li>• Enforcing authorities – Health and Safety Executive, Scotland Fire and Rescue</li> <li>• Legislation compliance</li> <li>• Planned and unannounced site visits.</li> </ul>
		<ul style="list-style-type: none"> <li>• Internal Audit – Audits (process / procedural / quantitative based checks)</li> </ul>
Service	<ul style="list-style-type: none"> <li>• Management assurance via Workplace Inspections.</li> <li>• Incident investigations.</li> </ul>	

	• Shop floor visits.	
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- 4.3 A similar assurance planning approach to Internal Audit will be adopted by the Health, Safety and Wellbeing Team with the development of a Health and Safety Assurance Annual Work Plan in conjunction with Directorates/Services. This will be based on the Strategic Operational Risk Register. The draft Internal Audit Work Plan does not focus on health and safety. This new approach will provide an independent layer of assurance by the specialist corporate Health, Safety and Wellbeing Team. This is an additional of assurance over the existing layer of management assurance.
- 4.4 Focus is on a proactive approach in identifying improvement areas rather than reactive triggers. The scope has been influenced by incident investigation, corporate projects, regulatory initiatives and intervention. This has enabled accurate risk profiling to ensure that minor risks have not been given too much priority and that major risks have not been overlooked. The gathered and collated information will provide the current status of each component with identified improvements again similar to the approach taken by Internal Audit. Key recommended actions will be discussed with management, who will be required to indicate acceptance or rejection of recommendations and when they expect to be able to implement them.
- 4.5 Summarised findings will be reported to the Corporate Health and Safety Committee and the Corporate Management Team through the compliance dimension of the CMT Performance Dashboard. Progress will be monitored by the Corporate Health and Safety Committee holding management to account until identified actions are closed out.
- 4.6 The intention is to mirror the style of the Internal Audit Work Plan which identifies the proposed audit, who the lead officer will be and when the audit is proposed.
- 4.7 The Work Plan is flexible and may be amended to reflect changes in priority or to respond to emerging risks. It details what the Health, Safety and Wellbeing Team expects to review in the set 12 month period.
- 4.9 Currently the Health, Safety and Wellbeing team comprises of Health, Safety and Wellbeing Manager, Team Leader (Health, Safety and Wellbeing), 4 x Health and Safety Advisers and Wellbeing Support Assistant. The current team Work Plan identifies a short fall in resource for the improvement areas and workflows for the pending 12 month period. Adjustments are being made to processes to release resource to deliver the Fire Risk Assessment Programme. The aspiration is to move to a proactive weighted

service while coaching managers to develop key skills to improve health, safety and wellbeing management within their related Service. Additional resource will be required in the following up of actions in relation to the Audit, Compliance Monitoring and Physical Verification. Further resource implications will be better known once the Work Plan has been finalised following discussions with Directorates /Services. Given this is the equivalent of the audit discipline which Internal Audit are familiar with the intention would be to explore capacity provided by Internal Audit if required.

- 4.10 Discussion requires to be held with Aberdeenshire colleagues regarding potential joint working in simultaneous topic auditing.
- 4.11 It would be intended to have rolling three year plans in future to mirror and compliment Internal Audits planned approach.

## **5. REPORT AUTHOR DETAILS**

Mary Agnew, Health, Safety and Wellbeing Manager  
[magnew@aberdeencity.gov.uk](mailto:magnew@aberdeencity.gov.uk)  
(01224) 523088

## Appendix A

### Health and Safety Assurance Work Plan 2015/16

#### Strategy and Risk Assessment

The drivers for the Work Plan are:

1. Risk Register (see table below)
2. Serious incidents
3. Legislation changes

#### Corporate Health and Safety Register Table

##### CG006 Risk of poor or inadequate health and safety arrangements

Impact ↑	4	CGHR29 Delivery of Fire Risk assessment programme		CGHR41 Asset management of Buildings CGHR 24 Disjointed robust gas safety	CGHR36 Disjointed robust asbestos management CGHR28 Lack of compliance with health and safety legislation and assessment and control of risk CGHR38 Lack of robust Management of Occupational Road Risk		
	3	CGHR33 EAS contract poor performance CGHR37 Smarter Working		CGHR27 Lack of audit system CGHR32 OHP contract poor performance CGHR35 Lack of understanding acceptance of roles and responsibilities CGHR45 Lack of health surveillance	CGHR26 Recording, reporting and reviewing incidents including cases of ill health CGHR25 Lack of suitable emergency arrangements CGHR34 Lack of stress management CGHR43 Lack of consistent safe Working at Height arrangements CGHR42 Lack of supervision and monitoring	CGHR31 Poor management of contract / contractors CGHR39 Lack of consistent suitable violence and aggression arrangements including lone working CGHR40 Lack of robust security arrangements CGHR45 Lack of actions – close out / budgeting	
	2				CGHR44 Lack of consistent manual handling arrangements		
	1						
		1	2	3	4	5	6
				Severity	→		

## Health and Safety Assurance Plan 2015/16

Having considered the above corporate key health and safety risks it is intended to focus on the four system components Controls, Co-operation, Communication and Competence using the Plan, Do, Check and Act approach in the initial 12 month period.

A total of 160 days within the Health, Safety and Wellbeing Team have been allowed to undertake the audits, compliance monitoring and physical verification.

Specific focus areas identified in consultation with Directorates are detailed in the tables below, these will be flexible as to emerging risks:

### Directorate/Service Specific

#### Corporate Governance

Subject	Scope	Objective	Timescale	CRR*
Violence and Aggression	Customer Service Centre	Consider effectiveness of operational arrangements in line with legal requirements.	Q3	CGHR39
Management of contractors	ICT	Ensure robust procedures are in place and operating satisfactorily. To include the control of asbestos.	Q1	CGHR31 CGHR36

\*Corporate Risk Reference

#### Education & Children's Services

Subject	Scope	Objective	Timescale	CRR*
Violence and Aggression	Educational and Children Services establishments	Consider effectiveness of operational arrangements in line with legal requirements.	Q3	CGHR39
Management of contractors	Educational establishments	Ensure robust procedures are in place and operating satisfactorily. To include the control of asbestos.	Q1	CGHR31 CGHR36
Management of stress	Educational and Children Services establishments	Consider if stress is being effectively managed (identified and controlled) within the Services.	Q3	CGHR34
Security and health and safety emergency	Educational establishments	Ensure robust procedures are in place and operating satisfactorily.	Q2	CGHR40 CGHR25

arrangements				
Recording, reporting, monitoring and reviewing incidents including cases of ill health	Educational and Children Services establishments	Consider effectiveness of operational arrangements in line with corporate procedures including use of YourHR.	Q2	CGHR26
Assessment and control of risk	Educational establishments	Consider effectiveness of operational arrangements in line with legal requirements in relation to risk assessment - general and specific.	Q1	CGHR28

### **Communities, Housing & Infrastructure**

Subject	Scope	Objective	Timescale	CRR*
Management of contractors	Capital and revenue construction projects	Ensure robust procedures are in place and operating satisfactorily. To include the control of asbestos and working at height.	Q1	CGHR31 CGHR36
Management of occupational road risk	ACC fleet operating vehicles	Consider effectiveness of operational arrangements in line with legal requirements. To include traffic management arrangements at Kittybrewster and West Tullos depots.	Q4	CGHR38
Management of Asbestos	Housing and non-housing asset portfolio	Consider effectiveness of operational arrangements in line with legal requirements.	Q1	CGHR36
Management of stress	Educational and Children Services establishments	Consider if stress is being effectively managed (identified and controlled) within the Services.	Q3	CGHR34
Security and health and safety emergency arrangements	Corporate offices	Ensure robust procedures are in place and operating satisfactorily for Marischal College and Frederick Street.	Q2	CGHR40 CGHR25
Asset management of buildings	ACC employee workplaces	Ensure robust procedures are in place and operating satisfactorily.	Q4	CGHR41

Assessment and control of risk	Building, Environmental and Road Services	Consider effectiveness of operational arrangements in line with legal requirements in relation to risk assessment - general and specific. To include working at height and manual handling.	Q1	CGHR28 CGHR43 CGHR44
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### Adult Health & Social Care

Subject	Scope	Objective	Timescale	CRR*
Violence and Aggression	ACC Social care establishments delivered Services	Consider effectiveness of operational arrangements in line with legal requirements.	Q3	CGHR39
Management of contractors	ACC Social care establishments delivered Services	Ensure robust procedures are in place and operating satisfactorily. To include the control of asbestos.	Q1	CGHR31 CGHR36
Management of stress	ACC Social care establishments delivered Services	Consider if stress is being effectively managed (identified and controlled) within the Services.	Q3	CGHR34
Recording, reporting, monitoring and reviewing incidents including cases of ill health	ACC Social care establishments delivered Services	Consider effectiveness of operational arrangements in line with corporate procedures including use of YourHR.	Q2	CGHR26
Assessment and control of risk	ACC Social care establishments delivered Services	Consider effectiveness of operational arrangements in line with legal requirements in relation to risk assessment - general and specific, (including manual handling, infection control)	Q1	CGHR28

### Cross Directorate

Subject	Scope	Objective	Timescale	CRR*
Management of contractors	Capital and revenue construction	Ensure robust procedures are in place and operating	Q1	CGHR31 CGHR36



	projects - housing and non-housing	satisfactorily. To include the control of asbestos.		
Assessment and control of risk	Selection of ACC Service delivery	Consider effectiveness of operational arrangements in line with legal requirements in relation to risk assessment - general and specific, (including manual handling, working at height infection control)	Q1	CGHR28
Recording, reporting, monitoring and reviewing incidents including cases of ill health	Directorates /Services	Consider effectiveness of operational arrangements in line with corporate procedures including use of YourHR.	Q2	CGHR26
Management of stress	Directorates /Services	Consider if stress is being effectively managed (identified and controlled) within the Services.	Q3	CGHR34
Security and health and safety emergency arrangements	Corporate offices	Ensure robust procedures are in place and operating satisfactorily for Marischal College and Frederick Street.	Q2	CGHR40 CGHR25
Close out of actions	Fire risk assessments and incident investigations	Ensure robust procedures are in place and operating satisfactorily with appropriate budgeting arrangements.	Q3	CGHR45

The above audits will be complimented by the collation of information from specific compliance monitoring and physical verification to give holistic evaluation of compliance. This will enable assurance on the effectiveness of operational controls.