

SCRUTINY AND AUDIT COMMITTEE – 9 MARCH 2023

DETAILED RISK REPORTING TO SCRUTINY AND AUDIT COMMITTEE

REPORT BY CATHIE WYLLIE – SERVICE LEADER - INTERNAL AUDIT

ABSTRACT

This report presents detailed risk information to the Scrutiny and Audit Committee in line with the programme agreed by the Scrutiny and Audit Committee in June 2022 (Report 163/22/ refers) and confirmed in August 2022 (Report 207/22 refers).

1. RECOMMENDATION

It is recommended that Committee:

- (i) Scrutinise and note the information presented about the Health & Safety Compliance risk.

2. ALIGNMENT TO THE COUNCIL PLAN

The contents of this report, and the related presentation provide the Committee with a deeper understanding of a key corporate risk that may prevent achievement of the Council Plan, and the steps being taken to mitigate the risk.

3. BACKGROUND

The following timetable for individual risk presentations, based on the Corporate Risk Register at 17 May 2022, was agreed for 2022/23:

The following table has four columns and a heading row followed by five rows

S&A meeting date	Lead officer	Risk to be presented	Risk Score May 2022	Risk Target	Revision
23 August 2022	Director of Finance	Financial Sustainability	20	9	December 2022 Score 25
27 October 2022	Director of Strategic Policy, Transformation & Public Sector Reform	Partnerships	12	9	August 2022 Score 9 Target 6
29 November 2022	Chief Executive	Transforming for the Future	9	6	October Score 15
31 January 2023	Director of HR, Digital Enablement, IT & Business Support	IT resilience & Cyber-attack (Business Continuity)	16	8	
9 March 2023	Depute Chief Executive	Health & Safety Compliance	12	6	December 2022 Score 9
25 April 2023	Director of Vibrant Communities and Sustainable Growth	Climate Change	16	12	

4. CURRENT POSITION

- 4.1 There will be a short presentation on the Health & Safety Compliance risk. The related information from the Corporate Risk Register is included in Appendix 1.
- 4.2 There have been no changes to the Corporate Risks since this was last reported to the January 2023 Scrutiny & Audit committee in Report number 8/23.

5. FINANCIAL IMPLICATIONS

There are no direct financial implications.

6. EQUALITY IMPACT ASSESSMENT

An Equality Impact Assessment is not required, as this report does not impact on people. It does not impact on people because this report provides information about risks and their mitigation. Any people impact would be dealt with at other active stages of risk mitigation if applicable.

Background Papers

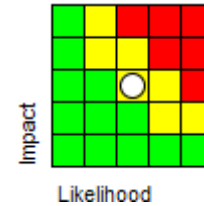
NOTE: No background papers as defined by Section 50D of the Local Government (Scotland) Act 1973 (other than any containing confidential or exempt information) were relied on to any material extent in preparing this report.

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List of Appendices:

Appendix 1- Corporate Risk Register – Health & Safety Compliance

Appendix 1



Risk Title

CORRR0020 Health & Safety Compliance

Risk Description

The council does not fully comply with Health & Safety at Work legislation.

Likelihood

Gaps for improvement have been identified through a corporate gap analysis and peer review. Both have identified similar themes and disparities which require to be addressed as a priority. Further actions have been identified to mitigate as far as possible, however execution of these actions within set timescales is dependent upon current staffing levels. Temporary posts within the health and safety team expire in December 2023. The fire assessor temporary post has expired.

Potential Impact

The council fails to comply with Health and Safety at Work legislation leading to enforcement by the Health & Safety Executive.

Existing Controls

Corporate Action Plan in place	
Reviewed health & safety policy and arrangements in place	
Provision of risk assessment guidance, templates and training	
Competent and qualified health & safety staff	
Health & safety service action plan	
Risk assessments	
Training Plan in place	
Occupational health surveillance provided	In partnership with PAM Assist

Assure digital management system launched.



Consultation with external partners, services and trade unions




Risk Likelihood Score: 3



Risk Impact Score: 3

Overall Risk Score: 9


Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00023 Delivery of corporate action plan and agreed strategic objectives for 2022/23		31-Mar-2023		Compliance with legislation	Team Leader – Risk, Resilience & Safety	<p>New action added for 2023/24 strategic objectives</p> <p>We are progressing our roll out of training with a focus to support risk assessors to complete risk assessments into our digital H&S system (Evotix – Assure)</p> <p>This is being rolled out on a priority basis based upon level of risk and the incident module data • As part of this training rollout, we are focussing on our resourced schools</p> <p>Reports shared with Corporate Health & Safety Consultative Group</p>	13-Feb-2023
AC-COR-00048 Develop service / team Risk Profile and Performance Monitoring Record.	Contained within the Assure System's audit management module with the performance monitoring record directly linked to service/team risk profile	31-Dec-2023		Services enabled to identify if they are compliant with relevant H&S legislation	Team Leader – Risk, Resilience & Safety	<p>This part of the audit module is on hold. Waiting on EastScot partners to assist with completion of audit module (Performance monitoring record)</p> <p>Risk profile is ready for roll out</p> <p>Exploring job hazard analysis option as part of job</p>	13-Feb-2023

						specification to include risk assessment, training, PPE (personal protective equipment) and health surveillance (HR and IT)	
AC-COR-00086 Review corporate health & safety policy	The policy to be reviewed annually or when there are any significant changes. All changes to be communicated and implemented.	31-Mar-2023		Ongoing action in every year.	Team Leader – Risk, Resilience & Safety	Policy will be updated to reflect H&S consultative group work, completed digital templates and revised H&S guidance: Service H&S meetings Service oversight of digital system data in dashboards Assure templates (risk assessments and checklists) H&S web pages and guidance	13-Feb-2023
AC-COR-00087 Provide services with risk assessor training	Correct ratio of risk assessors in place in services	31-Dec-2024		Implementation of the training plan	Team Leader – Risk, Resilience & Safety	Due date extended to accommodate service priorities and to tie in with action to upload assessments to Assure digital system (AC-COR-00088) Services to consider as part of their service risk register review Risk assessment training delivered weekly Arrangements made to offer support to schools	13-Feb-2023
AC-COR-00088 Collaborate with newly trained risk assessors to upload assessments to Assure (digital system)	All service risk assessments must be uploaded to the system. Advisers can assist however responsibility remains with the service.	31-Dec-2024		Improved health & safety risk control measures	Team Leader – Risk, Resilience & Safety	Services to consider as part of their service risk register review Trade Unions in support and focus group set up as part of H&S consultative group	13-Feb-2023

						TU's to support as part of audit process to assist with undertaking establishment safety tours following completed risk assessments in the digital system following existing control measures	
AC-COR-00089 Monitor and report on service risk assessment compliance	with the Management of Health & Safety at Work Regulations 1999 (Reg 3)	31-Dec-2024		Service compliance	Team Leader – Risk, Resilience & Safety	<p>We are progressing our roll out of training with a focus to support risk assessors to complete risk assessments into our digital H&S system (Evotix – Assure)</p> <p>This is being rolled out on a priority basis based upon level of risk and the incident module data</p> <p>As part of this training rollout, we are focussing on our resourced schools</p> <p>Reports shared with Corporate Health & Safety Consultative Group</p>	13-Feb-2023
AC-COR-00090 Delivery of corporate action plan and agreed strategic objectives for 2023/24		31-Mar-2024		Strategic objectives met	Team Leader – Risk, Resilience & Safety	<p>Action plan updated quarterly. Aligned with the corporate risk register</p> <p>Action plan is shared with the H&S consultative group quarterly</p> <p>Our development work and partnership with Perth and Clackmannanshire continues and is working well</p> <p>Several task groups are running concurrently (Health and wellbeing to include work related stress, lone working, risk</p>	13-Feb-2023

					<p>assessment in schools, manual handling, road safety</p> <p>Making improvements to maintain the up-to-date council organisational structure data in the system. This requires mapping people data from resourcelink to digital system</p> <p>Focus on supporting services to upload suitable and sufficient risk assessments (meeting legal duty) onto our digital H&S system</p> <p>Having the incident, risk assessment and audit modules on one system enables us to be more efficient and collaborative in identifying gaps and making improvement</p> <p>The risk assessments we are prioritising are:</p> <p>Fire risk assessment (undertaken by fire risk assessor in H&S team) prioritising sleeping accommodations and schools</p> <p>Annual fire safety reviews (building managers)</p> <p>General (activity) risk assessment training for in service risk assessors</p> <p>Individual risk assessments (vulnerable people)</p> <p>Building risk assessments</p>	
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						We have engaged with the trade unions via the H&S consultative group with the intent to collaborate and conduct safety tour follow ups to check control measures via the digital systems data/risk assessments	
AC-COR-00091 Review and update existing corporate & service induction health & safety training		31-Dec-2023		Suitable and sufficient health and safety induction training in place	Team Leader – Risk, Resilience & Safety	<p>Reviewing council H&S training at induction with the Organisational Development team, primarily due to changes made to H&S arrangements and progress with our digital H&S system</p> <p>Intent is to ensure that adequate H&S information, instruction, training and supervision is in place for new employees at induction</p> <p>We will also support services with their service specific H&S elements induction as part of this work</p>	13-Feb-2023

Target Likelihood: 2
Target Impact: 3
Overall Target Score: 6

Risk Owner:	Mark Armstrong, Depute Chief Executive
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Latest Update	By	Date
Given the progress that has been made in implementing the action plan the current risk score has been reduced from 12 to 9 as the impact has been reduced from 4 to 3.	Alison Frew	19 Dec 2022