



## **INTERNAL AUDIT REPORT – CORPORATE HEALTH & SAFETY (CIVIC AMENITY SITES)**

Auditor: Internal Auditor

Distribution: Audit Committee  
Chief Executive  
Director of Corporate Services  
Head of Corporate Performance & Compliance  
Corporate Health & Safety and Insurance Services Manager

March 2019

All matters contained in this report came to our attention while conducting normal internal audit work. Whilst we are able to provide an overall level of assurance based on our audit work, unlike a special investigation, this work will not necessarily reveal every issue that may exist in the Council's internal control system.

## Table of Contents

Executive Summary.....	3
1 Objective .....	3
2 Background .....	3-4
3 Risks .....	4
4 Audit Approach.....	4-5
5 Findings and Recommendations .....	5
Appendix I: Definition of Assurance Ratings and Hierarchy of Findings .....	6
Appendix II: Summary of Key Controls Reviewed.....	7-8

## Executive Summary

This internal audit was completed in accordance with the approved annual Internal Audit Plan for 2018/19. This report summarises the findings arising from a review of Corporate Health & Safety which was allocated 8 days.

Through the audit I found the following examples of good practice:

- Corporate Health, Safety and Well-being Policy and Procedures are in place which are updated to reflect legislative changes as required.
- Staff have received relevant training in Health, Safety and Well-being and training logs are kept and are up-to-date.
- Health and safety reports are completed and provided to Council and actions identified in the Health and Safety Audit Action Plan are followed up.
- Risk assessments are completed for staff and facilities
- Health and safety risks are identified and managed in Council Departments
- Employer's and Public Liability insurances are in place
- A central record is kept of incidents, accidents and near misses with sufficient detail to enable effective actions to be taken to avoid a repeat of the incident/near miss.

Audit did not identify any findings leading to a priority 1,2 or 3 recommendation.

Based on our audit testing we are able to provide the following overall level of assurance:

### Satisfactory

Overall there is a satisfactory system of governance, risk management and control. While there may be some residual risk identified this should not significantly impact on the achievement of system objectives.

## 1. Objective

The overall objective of this audit is to consider the main risks in relation to Corporate Health & Safety of Civic Amenity Sites and to review the key systems and controls in place to address these.

## 2. Background

As an employer and public service provider, Causeway Coast & Glens Borough Council is responsible for providing a safe and healthy workplace and environment for staff and visitors to its premises. Council staff also have responsibilities for ensuring the health, safety and well-being of themselves and others as they carry out their work for the Council.

The Health and Safety at Work (NI) Order 1978 imposes duties on employers to look after the health and safety of their employees and responsibilities on employees to comply with the measures put in place for their health and safety.

There are various regulations made under this Order concerned with health and safety at work including:

- Management of Health and Safety at Work Regulations (NI) 2000
- Workplace (Health Safety and Welfare) Regulations (NI) 1993
- Health and Safety (Display Screen Equipment) Regulations (NI) 1992
- Provision and Use of Work Equipment Regulations (NI) 1999
- Manual Handling Operations Regulations (NI) 1992
- Personal Protective Equipment at Work Regulations (NI) 1993.

The regulations require that employers carry out risk assessments and provide employees with information and training where necessary.

The Health & Safety Unit within Council employs 2 full-time members of staff which consists of one manager (who is also responsible for Insurance) and one officer.

The Council has developed a Health and Safety Policy which aims to:

- Provide and maintain plant and systems of work that are safe and without risks to health.
- Ensure the safety and absence of risk to health in connection with the use, handling, storage and transportation of articles and substances.
- Provide such information, instruction, training and adequate supervision, as is necessary, to ensure the health, safety and welfare of staff.
- Ensure, as far as is reasonably practicable, the provision of a safe place of work, with safe access and egress.
- Provide and maintain a healthy working environment including adequate welfare facilities.
- Consult with safety representatives on health and safety matters
- Provide the necessary resources to achieve these objectives.

The Council has also established a Corporate Health and Safety Committee which meets quarterly and Head of Service health and safety groups. Service Managers have responsibility for ensuring that Council-owned properties and facilities within their area of control are adequately maintained for health and safety purposes and ensuring that they comply with applicable legislative requirements. Council are continuing to roll out, implement and imbed a programme of Health & Safety Awareness, Initiatives and Training and Development.

### **3. Risks**

The risks identified relating to the Corporate Health & Safety and agreed with management are as follows:

- Compliance of Statutory Duties under Health & Safety at Work (NI) Order 1978
- Risk Assessments & Reporting
- Recording of Incidents, Accidents & Near Misses.

### **4. Audit Approach**

The audit fieldwork comprised:

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- Documenting the systems via discussions with key staff
- Consideration of the key risks within each audit area
- Examining relevant documentation
- Carrying out a preliminary evaluation of the arrangements and controls in operation generally within the Council
- Testing the key arrangements and controls
- Testing the completeness and accuracy of records.

Corporate Health and safety cuts across all of Council's activities. Health and Safety has already been covered in a number of areas as part of other internal audits e.g. estates and facilities; ground maintenance; events etc. This audit will focused on civic amenity sites.

The table below shows the staff consulted with and we would like to thank them for their assistance and co-operation.

Job title
Head of Corporate Performance & Compliance
Corporate Health & Safety and Insurance Services Manager
Operation Area Managers

## 5. Findings and Recommendations

This section of the report sets out our findings in relation to control issues identified and recommendations. A summary of all the key controls that we considered is included in Appendix II to this report.

### 5.1 Risk 1 – Compliance of Statutory Duties under Health & Safety at Work (NI) Order 1978

Audit has no findings or recommendations to make in relation to this risk area.

### 5.2 Risk 2 – Risk Assessments & Reporting

Audit has no findings or recommendations to make in relation to this risk area.

### 5.3 Risk 3 – Recording of Incidents, Accidents & Near Misses

Audit has no findings or recommendations to make in relation to this risk area.

## **Appendix I: Definition of Assurance Ratings and Hierarchy of Findings**

### **Satisfactory Assurance**

Evaluation opinion: Overall there is a satisfactory system of governance, risk management and control. While there may be some residual risk identified this should not significantly impact on the achievement of system objectives.

### **Limited Assurance**

Evaluation opinion: There are significant weaknesses within the governance, risk management and control framework which, if not addressed, could lead to the system objectives not being achieved.

### **Unacceptable Assurance**

Evaluation opinion: The system of governance, risk management and control has failed or there is a real and substantial risk that the system will fail to meet its objectives.

## **Hierarchy of Findings**

This audit report records only the main findings. As a guide to management and to reflect current thinking on risk management we have categorised our recommendations according to the perceived level of risk. The categories are as follows:

**Priority 1:** Failure to implement the recommendation is likely to result in a major failure of a key organisational objective, significant damage to the reputation of the organisation or the misuse of public funds.

**Priority 2:** Failure to implement the recommendation could result in the failure of an important organisational objective or could have some impact on a key organisational objective.

**Priority 3:** Failure to implement the recommendation could lead to an increased risk exposure.

## Appendix II: Summary of Key Controls Reviewed

Risk	Control issues
<p>The Council and Council staff may not be aware of the statutory duties in relation to Health, Safety and Well-being under the Health and Safety at Work (NI) Order 1978 leading to safety risks to staff and members of the public and non-compliance with statutory responsibilities.</p>	<ul style="list-style-type: none"> <li>• An adequate Corporate Health, Safety and Well-being Policy and Procedures is in place, detailing <ul style="list-style-type: none"> <li>○ Health, Safety and Well-being responsibilities</li> <li>○ Role and responsibilities of the Health and Safety Officer</li> </ul> </li> <li>• Departmental Health and Safety policies are in place as required</li> <li>• The Policy and Procedures are reviewed and updated regularly</li> <li>• Updating of the Policy and Procedures is undertaken to reflect legislative changes as required</li> <li>• The Policy and Procedures are communicated to Council staff</li> <li>• Staff receiving relevant training in Health, Safety and Well-being <ul style="list-style-type: none"> <li>○ Types of health and safety training (operational vs office-based staff)</li> <li>○ Frequency of training</li> <li>○ Training logs are kept and are up-to-date</li> <li>○ Up to date Health and Safety Employee handbook</li> <li>○ Health and Safety Employee handbook communicated to staff</li> <li>○ Staff have received training and guidance for completing risk assessments</li> </ul> </li> </ul>
<p>Health and Safety risks to Council staff and members of the public visiting/using Council premises or attending Council events may not be assessed and minimised leading to unnecessary incidents and the risk of litigation against the Council</p>	<ul style="list-style-type: none"> <li>• Health and safety reports are completed and provided to Council <ul style="list-style-type: none"> <li>○ H&amp;S audits, surveys or inspections are carried out</li> <li>○ H&amp;S reports are monitored by senior management and Council</li> <li>○ Actions identified in the Health and Safety Audit Action Plan are followed up</li> </ul> </li> <li>• For the areas included in this audit: <ul style="list-style-type: none"> <li>○ risk assessments are completed <ul style="list-style-type: none"> <li>▪ for staff</li> <li>▪ for facilities</li> </ul> </li> <li>○ Health and safety risks are identified and managed in Council Departments using where appropriate: <ul style="list-style-type: none"> <li>▪ Risk assessments and inspections</li> <li>▪ COSHH</li> <li>▪ Manual handling</li> <li>▪ Personal protective equipment</li> <li>▪ First aid</li> <li>▪ Safety training</li> <li>▪ Work equipment</li> <li>▪ Safety checks</li> <li>▪ Recording and reporting</li> <li>▪ Incident and accident reporting</li> <li>▪ Other areas as appropriate (e.g. working at height)</li> </ul> </li> </ul> </li> <li>• Employer's Liability and Public Liability insurances are in place</li> </ul>

Risk	Control issues
<p>Corporate Health and Safety incidents, accidents and near misses may not be (adequately) recorded to enable the Council to monitor its systems and minimise risks to staff and members of the public.</p>	<ul style="list-style-type: none"><li>• Rate of incidents, accidents and near misses (and trends)</li><li>• A central record is kept of incidents, accidents and near misses</li><li>• The records provide sufficient detail to enable effective actions to be taken to avoid a repeat of the incident/near miss</li><li>• Incidents, accidents and near misses are monitored and investigated regularly by the Health and Safety Officer</li><li>• Incidents, accidents and near misses are reported to Council and relevant Council staff in a timely manner</li><li>• Records are kept showing that Council has been made aware of any incidents, accidents or near misses</li><li>• Actions taken following from an incident/accident/near miss are monitored for their effectiveness</li></ul> <p>Further actions are taken if required and communicated to Council</p>