



## Annual Health and Safety, H&S, Report for 2013/14

### SUMMARY

- 1.1 An internal audit of the Health and Safety Team, HST, recommended that the team should produce an annual health and safety, H&S, report and submit it to the Audit and Accounts Committee for consideration.
- 1.2 This report implements that audit recommendation. It covers key H&S performance and actions during 2013/14, including the results of the year's audit and inspection programme, team training activity, accident and aggressive incident statistics, and a summary of service activity and achievements. The report also outlines some service challenges identified for 2014/15, the most significant being a 50% reduction in the Health and Safety Team.
- 1.3 During 2013/14, the HST carried out:
- **154** audits
    - **86%** of Council managers audited scored above 80% for compliance which is the team's benchmark of 'acceptability' based on HSE guidance
    - **78%** of managers audited scored above 80% for confidence in H&S management.

However, it's important to note that the majority of these scores relate to audits within specific topic areas, such as manual handling, and shouldn't be seen as an indicator of overall compliance and best H&S management practice.
  - **135** inspections
    - **53%** of inspections of Council premises or services resulted in a score above 80% for compliance which is the team's benchmark of 'acceptability' based on HSE guidance.
- 1.4 Analysis of H&S training activity for 2013/14 shows that:
- members of the HST delivered **124** H&S courses and trained **1,212** delegates
  - **411** delegates completed **46** mandatory H&S courses during the year. This brings the overall Phase 1 delegate total to **3,428** between November 2010 and March 2013
  - **1,366** H&S e-learning courses were completed.

However, fewer courses have been delivered this year due to the loss of two

experienced trainers through redundancy at the end of 2012, and ongoing difficulties in getting employees to attend courses.

1.5 Analysis of accident and aggressive incident statistics for the year revealed totals of:

- **431** employee accidents, 10 fewer than in 2012/13
- **361** reported abuse, aggression and violence incidents, 20 fewer than the previous year.

There has been a steady reduction in accident and aggressive incidents. However, this has to be considered in the context of overall staffing reductions and a suspected culture of under-reporting.

1.6 Challenges for 2014/15 include:

- meeting the changing and complex needs of the Council effectively with a reduced team. This is particularly important in the current business climate of reduced budgets, restructuring, process re-engineering and the loss of knowledgeable staff through repeated voluntary redundancy schemes
- the development and implementation of new IT systems. The team currently uses Selima's Human Resources Vision system to record and run reports on accidents, aggressive incidents and all training delivered by the HST. The move to a new system, Midland Software's i-Trent package, will require a significant amount of team time to tailor the H&S modules to meet the Council's requirements, train staff in the use of the new software, and develop supporting processes
- realigning the service to meet changing Council functions, structures and priorities, such as the increase in the number and variety of commissioned services, and the impact of managing sold services to a number of organisations
- finding ways to keep and monitor the statutory H&S records, such as for accidents, incidents and training activity, that are fundamental to the Council's H&S management system and the work of the HST. This will be a particular issue due to the loss of the team's experienced technical support staff.

## RECOMMENDATION

2.1 To note the contents of the report.

## REASONS FOR RECOMMENDATION

3.1 The production of an annual health and safety report and its submission for consideration by the Committee was a recommendation of an internal audit review of the Health and Safety Team.

## SUPPORTING INFORMATION

- 4.1 An internal audit of the Health and Safety Team, HST, took place during 2011/12. The resulting audit report offered “comprehensive assurance as the areas reviewed were found to be adequately controlled. Internal controls were in place and operating effectively, and risks against the achievement of objectives were well managed.”
- 4.2 Six recommendations were made to address low risk control issues; all were accepted and remedial action implemented. One of the recommendations was that an annual H&S report should be taken to the Audit and Accounts Committee. This report implements that recommendation and covers H&S activity and performance during 2013/14.

### Audit and inspection programme

- 4.3 During 2013/14, the HST carried out **94** audits and **58** inspections of Council premises and service activities, plus **52** audits of private care homes and home care providers. The focus of the year's programme moved from rapid appraisal audits to more in-depth audits and inspections of high risk services or activities. These included:
- full audits of schools or other premises
  - construction site inspections
  - audits of refuse and grounds maintenance service activities
  - moving and handling audits
  - event site inspections
  - medication audits
  - boundary inspections
  - bed rail audits.
- 4.4 All audits are scored for compliance with legal and policy requirements and confidence in H&S management. Of the 94 audits of Council premises...
- **86%** of managers audited scored above 80% for compliance which is the team's benchmark of 'acceptability' based on HSE guidance.
  - **78%** of managers audited scored above 80% for confidence in H&S management.
- These scores appear very good, but it's important to note that the majority relate to audits within specific topic areas, such as manual handling. They mustn't be seen as an indicator of overall compliance and best H&S management practice.
- 4.5 Inspections are scored for compliance and of the 58 inspections of Council services and premises...
- **53%** of managers audited scored above 80% for compliance which is the team's benchmark of 'acceptability' based on HSE guidance.

- 4.6 After each audit or inspection visit, H&S advisers routinely provide a summary of their findings to the manager responsible for the service or work activity. This report highlights examples of good practice, issues of concern and provides guidance and advice to help with any necessary remedial actions. Where significant issues are identified, immediate action is taken to stop unsafe work activities, notify relevant senior managers, and then schedule revisits to check improvements are made.

### Training activity

- 4.7 During 2013/14, members of the HST delivered **124** training courses. This was **57** less courses and **741** fewer delegates trained than in 2012/13. The reduction was due to the loss of two experienced trainers to the year's voluntary redundancy programme and difficulties filling course places. In addition, **1,366** e-learning courses were completed with quarterly figures varying between 214 and 512 delegates.
- 4.8 Providing H&S training is a statutory obligation for all employers. The HST's in-house training function is a cost-effective way to deliver tailored courses to Council employees. Our standing training programme comprises 19 different 'taught' courses with some occasional topic or service-specific sessions. The course subjects range from H&S management to stress risk assessment and manual handling assessment. A full list is given in Appendix 2.
- 4.9 All our training delegates are asked to complete a course evaluation questionnaire using Snap software. The overall response rate is relatively low, but the feedback we do get is consistently very positive, both for our taught and e-learning courses.
- 4.10 **46** of the sessions delivered were mandatory courses for managers in tiers 3 to 5, with **576** delegates being trained. This brought the total number of delegates trained during Phase 1 of the mandatory programme to **3,428**.
- 4.11 While these are good overall figures, repeated service restructuring, redundancies and deficiencies in the Human Resources information system, Vision, mean that we can't say how they relate to the number of managers still requiring mandatory training. We've previously tried to track managers' attendance using a simple spreadsheet. However, doing this takes significant amounts of time to:
- check and maintain up-to-date details of the relevant managers within each service area
  - log attendances
  - highlight and follow up non-compliance.
- The loss of most of the team's technical support staff means that HST won't be able to do any similar monitoring in 2014/15.
- 4.12 Over the year we had to cancel **29%** of our scheduled courses, mainly because too few delegates were booked onto them. Some had to be cancelled at very short notice because last minute drop-outs by delegates made them unviable and uneconomic to run. The year's average non-attendance rate for delegates was **13%** (with a maximum of 15.9% in Quarter 3), with **9%** of these being short-notice cancellations and **4%** being 'no-shows' on the day of the course.

- 4.13 The cancellations, failures to attend and repeated re-bookings are costly in terms of officer and administrative time. They also inconvenience employees who do want to attend courses but get moved to alternative dates when there are insufficient delegates to run a particular session. Another significant problem is repeated cancellations and re-bookings by staff struggling to prioritise competing work objectives or by managers juggling service rotas. This requires changes to be made to electronic course and personnel records and revised joining instructions to be sent out.
- 4.14 HST will be developing plans to maximise training attendance during 2014/15. These are likely to include:
- increased publicity
  - follow-up emails to the managers of employees who fail to show up for booked courses without cancelling their place
  - levying cancellation charges in line with commercial training providers' practice.
- 4.15 Additional H&S training challenges for 2014/15 include:
- identifying the tier 3 to 5 managers that need mandatory refresher training (this operates on a 3-yearly cycle)
  - finding ways to encourage more school managers to attend H&S training. This issue is compounded by the cover charges schools have to pay to release staff for training. To help with this, our sold services offer for 2013/14 includes free mandatory courses for schools that buy the package offered by HST.

### **Accidents summary**

- 4.16 During 2013/14, the number of reported accidents across the Council continued to reduce. A summary of whole Council totals for 2011/12 and 2012/13 are given in the tables below. Directorate-specific details are included in Appendix 3.

### **Whole Council totals**

	<b>2011/12</b>	<b>2012/13</b>	<b>2013/14</b>
All accidents	<b>505</b>	<b>441</b>	<b>431</b>
RIDDOR reportable accidents *	<b>55</b>	<b>30</b>	<b>30</b>
Number of lost time accidents	<b>96</b>	<b>81</b>	<b>71</b>
Top three causes  (Number of accidents in each category given in brackets)	1. Manual handling (149) 2. Physical assault (122) 3. Slip, trip or fall on same level (102)	1. Physical assault (112) 2. Slip, trip or fall on same level (100) 3. Manual handling (89)	1. Physical assault (114) 2. Slip, trip or fall on same level (75) 3. Manual handling (75)

\* These are specified injuries reportable to the Health and Safety Executive, HSE, under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations or RIDDOR.

- 4.17 All accident reports received by the HST are reviewed by a professional H&S adviser and follow-up action taken as necessary. Quarterly statistics and analysis are taken to Directorate Management Team and Joint Consultative Committee meetings. Accident investigation and reporting is one of the mandatory training courses for managers.
- 4.18 The downward trend in injuries reportable under RIDDOR may be due to the change in legal reporting requirements that came into force in April 2012. Employers now have to report injuries resulting in over seven days' absence rather than injuries resulting in over three days' absence.
- 4.19 The top three causes of accidents are monitored by the HST, and follow-up work is carried out with directorates.

### **Abuse, aggression and violence incidents summary**

- 4.20 In 2013/14, reported incidents of abuse, aggression and violence involving Council employees also reduced in number. Tables showing whole Council totals for 2011/12 and 2012/13 are given below with directorate-specific details included in Appendix 3.

#### **Whole Council totals**

<b>Year</b>	<b>2011/12</b>	<b>2012/13</b>	<b>2013/14</b>
Total	<b>584</b>	<b>381</b>	<b>361</b>
Top three categories	1. Verbal abuse 2. Physical violence 3. Threat of violence	1. Physical violence 2. Verbal abuse 3. Threat of violence	1. Physical violence 2. Verbal abuse 3. Threat of violence

- 4.21 All abuse, aggression and violence incident reports received by the HST are reviewed by a professional H&S adviser and follow-up action taken as necessary. Quarterly statistics and analysis are taken to Directorate Management Team and Joint Consultative Committee meetings. Abuse, aggression and violence is a significant issue for the Council and the HST will be reviewing it as part of our future work programme.

### **Service activity and achievements summary**

- 4.22 During 2013/14, in addition to the previously mentioned audits, inspections and training, members of the HST:
- carried out **193** investigations. This included investigations into accidents, aggressive incidents, working conditions, work methods and equipment, and risk assessment / risk management

- attended **80** meetings involving trade union H&S representatives and others, such as working groups and consultative meetings
- received and processed **792** employee accident and incident report forms. This is a complex process that involves:
  - all reports being checked by a H&S adviser
  - missing information (such as absence details) or management actions being followed up
  - investigations being undertaken, where appropriate
  - records being created on Vision (the current Human Resources information system)
  - statutory reports being sent to the Health and Safety Executive
- reviewed and updated all e-learning courses and developed a new asbestos briefing course
- handled all delegate bookings, cancellations, re-bookings and queries for all corporate H&S courses run during the year. With current cancellation and rebooking rates and the loss of technical support, this is an issue of concern for the team. See paragraph 4.13
- created and maintained delegate training records for all corporate H&S courses. This involves setting-up course events on Vision and logging all training attendances.

#### 4.23 Additional team achievements during 2013/14 included:

- providing guidance and advice about various snagging issues within the Council House, the building's use and the equipment in it
- training **33** delegates in Evac+Chair operation to enable the safe evacuation of disabled employees in an emergency
- continuing research into stress-related absence in consultation with the Occupational Health Service and Human Resources. This has now become part of a wider health and wellbeing agenda.
- working with the ICT Team to continue the development of H&S pages on iDerby and the Schools' Information Portal (SIP)
- revising corporate policies in line with legislative changes, including those covering accident reporting and mobile phones and driving
- leading an H&S benchmarking and networking group comprising local Unitary Authorities, including Leicester, Coventry, Nottingham, Stoke and Peterborough.

#### **Service challenges for 2013/14**

- 4.24 One of the major challenges facing the service is maintaining a sufficiently resourced and experienced team that can effectively meet the changing and complex needs of the Council. This is particularly important in the current

business climate of reduced budgets, restructuring, process re-engineering and the loss of knowledgeable staff through repeated voluntary redundancy schemes. Circumstances involving such high levels of change and uncertainty may:

- increase H&S risks and potential liabilities
- decrease staff health, well-being and productivity
- undermine our slowly improving H&S culture, particularly as managers struggle to combine their H&S duties with an increasing number of additional tasks. These may include work previously done within their own reduced teams or new, devolved tasks from shrinking corporate teams.

4.25

Over the last three years, the HST has lost six members of staff including a full-time Head of Service, four FTE professional H&S adviser posts and one part-time technical support post. This limited the ability of the team to maintain its full range of established functions, service delivery levels, and meet client expectations.

4.26

From April 2014, the team will be restructured and further reduced by 50%. This will inevitably impact on the delivery of H&S training, audit and inspection programmes, policy development and communication, along with the team's ability to take on more proactive projects. The loss of most of the team's technical support posts (only 0.5 FTE will remain after 1 April 2014) will have a significant impact on our ability to fulfil record-keeping and monitoring responsibilities. We are developing plans to minimise the impact of this and will review the situation as the year progresses.

4.27

Another major challenge for the HST in 2013/14 is the development and implementation of new IT systems. The team currently uses Selima's Human Resources Vision system to record and run reports on accidents, aggressive incidents and all training delivered by the HST. The move to a new system, Midland Software's i-Trent package, will require a significant amount of team time to tailor the H&S modules to meet the Council's requirements, train staff in the use of the new software, and develop supporting processes.

4.28

The HST is also investigating the use of Civica's Authority Public Protection, APP, software. This is a record-keeping and reporting system used by other teams within the Environment and Regulatory Services Department. However, current modules would need developing and configuring before they'd meet the HST's needs. Time would also be needed for devising supporting processes and staff training.

4.29

An on-going challenge for the HST will be realigning the service to meet changing Council functions, structures and priorities. Issues already identified include the impact of:

- an increase in the number and variety of commissioned services. The Council will retain certain responsibilities for procuring and monitoring these services' H&S compliance
- the pressures and opportunities linked to developing, marketing and

4.30



managing an increasing number of sold services. The HST currently provides services to schools and the Derby Museums Trust.

The HST's work during 2013/14 will also include responding to changes in H&S legislation and national priorities for health and well-being.

<b>OTHER OPTIONS CONSIDERED</b>
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5.1 No other options were considered.

**This report has been approved by the following officers:**

<b>Legal officer</b>	n/a
<b>Financial officer</b>	n/a
<b>Human Resources officer</b>	Diane Sturdy
<b>Estates/Property officer</b>	n/a
<b>Service Director(s)</b>	John Tomlinson
<b>Other(s)</b>	Adrian Jeffs; Nick O'Reilly, Andy Hills, Ann Webster, Richard Boneham

<b>For more information contact:</b>	Wendy Johnson, Head of Occupational Health, Safety and Well-being 01332 640540 wendy.johnson@derby.gov.uk
<b>Background papers:</b>	None
<b>List of appendices:</b>	Appendix 1 - Implications Appendix 2 - Health and safety training courses delivered in 2013/14 Appendix 3 - Annual accident and incident summary - Directorate breakdown

<b>IMPLICATIONS</b>
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**Financial and Value for Money**

- 1.1 Our in-house health and safety service provides a tailored and cost-effective solution to help the Council meet its statutory health and safety obligations to employees. It also raises income by selling its services to linked organisations, such as schools and the Derby Museums Trust.

**Legal**

- 2.1 The Health and Safety at Work etc. Act 1974 and various subordinate regulations require employers to have competent health and safety advice, and to provide health and safety training for its employees.

**Personnel**

- 3.1 None directly arising from the report.

**IT**

- 4.1 IT systems and procedures are central to the work of HST. In the future, there will have to be more reliance on self service, in terms of record-keeping and reporting using e-forms and the new HRIS. Similarly, e-learning will be a central part of our training delivery.

**Equalities Impact**

- 5.1 The Health and Safety Team have a continued programme of offering evacuation chair training for buddies of disabled employees to make sure they can get out of the building in an emergency. In addition, staff go into schools to assist with reasonable adjustment advice for disabled pupils or pupils who need medication.
- 5.2 The Council takes abuse, aggression and violence against any of our employees very seriously. The Health and Safety Team deal with the reporting forms of these types of incidents. Where any of them involve people in the protected characteristics under the Equality Act, the Lead on Equality will be informed. At the moment the incidents are not monitored by equality category, but this is something the Lead on Equality wishes to be considered next year.

**Health and Safety**

- 6.1 The Council has a legal obligation to have competent health and safety advice, and to provide health and safety training for its employees.



## **Environmental Sustainability**

- 7.1 Training course materials, booking notifications and attendance certificates are available electronically rather than in paper form. We also have seven training courses available by e-learning which reduces travel and associated carbon emissions.

## **Property and Asset Management**

- 8.1 Our health and safety advice and auditing includes that related to building management issues, such as the control of gas, water hygiene, electricity and asbestos hazards. Poor performance in these areas may have implications for asset management. The health and safety training covers topics, such as fire safety, that will contribute to effective asset and property management.

## **Risk Management**

- 9.1 Health and safety advice, auditing and training helps to develop safe and competent employees and managers which will contribute to effective risk management. Poor performance in health and safety management suggests that local risk management needs improving.

## **Corporate objectives and priorities for change**

- 10.1 This supports the Council's corporate objectives for good health and well-being and a skilled and motivated workforce.

### Health and safety training courses delivered in 2013/14

#### Classroom-based / taught sessions

- Management of health and safety (Phase 1 mandatory course - tiers 3 to 5 managers).
- General risk assessment (Phase 1 mandatory course - tiers 3 to 5).
- Stress risk assessment (Phase 1 mandatory course - tiers 3 to 5).
- Accident investigation and reporting (Phase 1 mandatory course for tier 4 and 5 managers; recommended for tier 3).
- Manual handling assessment.
- Control of substances hazardous to health, COSHH.
- Managing asbestos.
- Control of legionella in hot and cold water systems.
- Evac+Chair Operators training.
- Management of health & safety in schools (Phase 1 mandatory course for school managers).
- Education visits coordinator, EVC.
- Group leader training for education visits and learning outside the classroom.
- Handling pupils with special medical needs.
- Health and safety for new head teachers.
- Administration of Medication Policy.
- Assisting and moving competency for managers.
- Medication for care staff.
- Medication for managers.
- Working safely.

#### E-learning courses

- Display screen equipment, DSE (mandatory for DSE users).
- Corporate fire awareness.
- School fire awareness.
- Risk assessment - an overview.
- Stepladder briefing.
- Manual handling - the basics.
- Accident reporting and investigation.
- Asbestos briefing.

## Annual accident and incident summary - Directorate breakdown

### Total number of accidents

Directorate	2011/12	2012/13	2013/14
Adults, Health and Housing	75	70	51
Chief Executive's	2	1	4
Children and Young People - non-schools	46	53	55
CYP - schools	241	170	183
Neighbourhoods	132	125	114
Resources	9	22	24

### RIDDOR accidents

Directorate	2011/12	2012/13	2013/14
Adults, Health and Housing	10	5	8
Chief Executive's	1	0	0
Children and Young People - non-schools	9	5	1
CYP - schools	18	6	11
Neighbourhoods	17	11	10
Resources	0	3	0

### Lost time accidents

Directorate	2011/12	2012/13	2013/14
Adults, Health and Housing	14	18	11
Chief Executive's	1	0	1
Children and Young People - non-schools	15	12	4
CYP - schools	39	19	27
Neighbourhoods	33	27	26
Resources	1	5	2

### Incidents of abuse, aggression and violence

Directorate	2011/12	2012/13	2013/14
Adults, Health and Housing	163	79	109
Chief Executive's	4	0	1
Children and Young People - non-schools	240	137	84
CYP - schools	97	62	68
Neighbourhoods	60	77	73
Resources	20	26	26