
INTERNAL AUDIT SUMMARY REPORT

SYSTEMS AUDIT – CORPORATE HEALTH AND SAFETY

1. INTRODUCTION

- 1.1. This audit was carried out in line with the Internal Audit Plan 2018/19 and in full consultation with operational staff and management.
- 1.2. The scope of the audit was to determine the effectiveness of the internal controls within the Corporate Health and Safety provision to ensure the following:
 - Risk assessments are undertaken throughout the Authority as per the Health and Safety guidance.
 - Accident recording and reporting procedures throughout the Authority are undertaken as per RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations).
- 1.3. The audit was conducted by the Principal Auditor and took the form of a series of detailed tests and checks, together with discussions with the Health and Safety Advisors.

2. SUMMARY OF FINDINGS

- 2.1. Four weaknesses were identified, all of which were classified as High Risk. Of these weaknesses, two relate to the Health & Safety Section and the remaining two were Corporate. The areas involving the four weaknesses were:
 - The official Risk Assessment Guidelines available to all staff on the Health and Safety intranet page had not been reviewed since January 2014 and contained an incorrect and misleading word.
Agreed Action – The guidelines have been reviewed and updated accordingly.
 - Risk assessments not being fully undertaken by all areas of the Authority.
Agreed Action – All Chief Officers have agreed to discuss with the relevant managers the importance of complying with the Policy and to ensure the completion of risk assessments.
 - From the sample of Accident Reporting, the details of seven accidents had not been recorded within the statutory Accident Book within the relevant Section.
Agreed Action – All Chief Officers have agreed to discuss with the relevant managers the importance of complying with the Policy and to ensure the completion of the statutory Accident Book.
 - For one of the sample of Accident Reporting, the relevant Accident Report had not been received by the H&S Section.
Agreed Action – The H&S Section will engage with the department who did not notify the Section of an accident and remind them of the importance to undertake this action.

3. CONCLUSION

- 3.1. The audit report is produced on an exception basis. Consequently the only points made are where weaknesses have been identified. The samples chosen would not be able to cover every transaction or eventuality; therefore reliance is placed in part on the information and explanations provided by the appropriate officers.

- 3.2. The Organisational Development Manager – Payroll and Health & Safety, has agreed to mitigating actions for the two weaknesses identified within that Section and the relevant Chief Officers have agreed mitigating actions for the other two weaknesses identified.

4. INTERNAL CONTROL STANDARD GRADING

- 4.1. In accordance with the standard gradings, the systems examined indicate that the internal controls used within the provision of Corporate Health and Safety appeared to be operating effectively, although as highlighted above, there were a number of areas not complying with the available guidance. The grading is therefore assessed as **‘Limited Assurance’**.