



Health and Safety Audit

Detailed Finding 3: Comparison of risk assessments to the risk assessment compliance note

Risk assessment compliance note statements.	Finding
<p>Consultation with employees: The compliance note states that Risk assessments are to be carried out by managers or relevant staff in consultation with employees who are familiar with the work activity.</p>	<p>Risk assessments at four out of five sites showed evidence that they had been created in consultation with employees, but this was not the case for all those reviewed.</p> <ul style="list-style-type: none"> • Mansion House (MH): Two risk assessments out of seven provided evidenced creation in consultation with employees. These were the risk assessments for lone working and school workshops. • Marjorie Waite Court (MWC): Three risk assessments out of six provided indicated creation in consultation with employees. These were: General premises (HHASC), Manual Handling (Housing Scheme managers), and Lone Working (Housing Scheme managers). • The Beehive (BH): Three risk assessments out of 25 provided indicated creation in consultation with employees. These were: All kitchens, Accessing Short Breaks at the Beehive, and Violence and aggression. • Hob Moor Children’s Centre (HMCC): Only one risk assessment provided was completed by a council officer (the premises risk assessment). This did not evidence creation in consultation with employees. • James House (JH): One risk assessment was provided. This evidenced creation in consultation with employees. This was the risk assessment for the support team.
<p>Activities/hazards identification: Strategies to undertake in the process of identifying hazards in the workplace</p>	<p>We found some risk assessments did not identify certain hazards relevant to those risk assessments. For example:</p> <ul style="list-style-type: none"> • MH: The risk assessment for lone working did not refer to exposure to violence and aggression. The events risk assessment did not refer to violence and aggression or medical emergencies.

	<ul style="list-style-type: none"> • MWC: The risk assessment for lone working only refers to slips, trips and falls as the identified hazard. The risk assessment for manual handling, which covers the use of a Mangar machine and manual hoist, only refers to the hazard as 'manual handling', rather than detailing the possible impacts. • BH: The All Kitchens risk assessment and laundry room risk assessment do not consider the risk of slips, trips and falls. • JH: The risk assessment for support workers does not refer to slips, trips and falls.
<p>Control implementation: The compliance note states that when conducting risk assessments officers should:</p> <ul style="list-style-type: none"> • Identify what the existing control measures are for the hazards • Be specific with these control measures and define actual training courses, safe systems of work, levels of supervision, standard of personal protective equipment etc • Are the existing controls appropriate and in line with relevant CYC SMS Compliance Notes? If not, identify what additional control measures need to be put in place to reduce the risk • Use the Risk Matrix and Risk Rating table to identify the level of risk after existing (and any additional) control measures – combine the current Potential Harm and Likelihood of harm occurring eg Major & Unlikely = Medium 	<p>We found that not all risks had been evaluated to provide a risk rating on the risk assessment:</p> <ul style="list-style-type: none"> • MH: Risks evaluated on all risk assessments seen. • MWC: No risk measurement observed on General Premises risk assessment. • BH: No risk measurement observed on the Accessing Short Breaks at the Beehive risk assessment. • HMCC: Risks had been evaluated on the premises risk assessment. • JH: No risk measurement observed on the premises risk assessment <p>We found that controls identified in risk assessments were not always in place or were not specific.</p> <ul style="list-style-type: none"> • MWC: a visitors book not being used, visiting workmen not accessing risk assessments and health and safety information, and contractors not always supervised on site. • BH: The trampoline safety instructions referred to in the risk assessment stated that trampoline should be on a soft surface, however the trampoline was placed on a hard surface. The medical room risk assessment referred to 'monthly manager checks' as a control but staff were unaware of this check. • JH: Whist a range of training has been identified as a control measure on the risk assessment provided, the specific courses to attend were not specified.
<p>Action plan used to record who is responsible for implementing</p>	<p>A review of action plans for the sample selected showed they had not always been used to identify additional controls:</p>

<p>controls: The compliance notes states that the action plan should be used to record who is responsible for implementing what and when</p>	<ul style="list-style-type: none"> • MH: For the seven risk assessments reviewed, action plans were not used to record who was responsible for implementing additional controls. • MWC: Five out of six action plans reviewed recorded some responsibilities and additional controls. • BH: Of four risk assessments that identified that additional controls were required (Violence and aggression, All kitchens, Medical room and Accessing Short Breaks), only the action plan for the Violence and Aggression risk assessment was completed. • HMCC: The action plan was used to identify responsibilities and additional control measures on the risk assessment. • JH: Additional controls were identified in the main risk assessment body and one action had been identified in the action plan section with a responsible officer having been identified.
<p>Risks and control measures communicated to employees: The compliance note states that Risks and control measures are communicated to appropriate people who may be affected by the hazard.</p>	<p>There was a lack of evidence that the results of risk assessments had been communicated to employees, with just two sites, HMCC and JH, being able to provide evidence of communication to staff by means of a meeting agenda or copy of a communication.</p> <p>Induction checklists were obtained from three of the sites visited:</p> <ul style="list-style-type: none"> • BH: Induction checklist includes reference to risk assessment • HMCC: Induction checklists includes reference to identified hazards. A 'Normal operating procedures document is shared with service users. • JH: Induction checklist includes reference to risk assessment. <p>Induction checklists are not used at MH, although the site manager was able to explain the induction process. Introduction of a checklist was discussed during the site visit. MWC completes fire safety inductions, but it was not clear whether personal emergency evacuation plans are covered as part of this process.</p>
<p>Risk assessments accessible to staff: The compliance note states that copies of risk assessments must be accessible within the workplace and provided to employees (and others eg contractors, where required) on</p>	<p>Visits to sites and interviews with officers responsible for health and safety indicated the following:</p> <ul style="list-style-type: none"> • MH: Risk assessments are accessible to employees electronically via access to a shared drive. Sharing of health and safety information with contractors/visitors was observed.

<p>induction, on request, and as part of ongoing management.</p>	<ul style="list-style-type: none"> • MWC: Risk assessments are stored electronically, but are not accessible to site staff or site users. Contractors sometimes go direct to residents flats without staff knowing that they have visited. • BH: Risk assessments are accessible to employees electronically via access to a shared drive. • HMCC: Risk assessments were not available to site users at time of visit. Discussion took place on how to ensure this going forwards. Sharing of health and safety information with contractors/visitors was observed. • JH: Risk assessments are accessible to employees electronically via access to a shared drive. Some hard copy risk assessments available.
------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------