

### Appendix 3. Risk definitions and assurance ratings

#### H&S enabler risk definitions

H&S recommendations are categorised, depending upon the level of associated risk, as follows:

Level	Category	Definition
1	High	Action is essential to manage exposure to fundamental risks that could expose the Council and its employees to loss. The majority of the significant risks relating to the area reviewed are not effectively managed.
2	Medium	Action is necessary to manage exposure to significant risks. There are a number of significant risks relating to the area reviewed that are not effectively managed.
3	Low	Action is desirable and should result in enhanced control or better effectiveness in H&S. The risks relating to the objectives of the areas reviewed are reasonably managed and are not cause for major concern.



## Assurance assessments comparing last two immediate financial years

### 1. Health and Safety Guidance, assistance and changes to H&S legislation

#### Assurance statements

The outlook in this area remains positive and is tracking towards a low risk rating. The Annual H&S declaration was a very useful exercise to raise awareness of the profile of risk assessments across the Council.

#### Assurance Assessment

Inherent risk rating	<b>Very High</b>	Increase (FFI/ sentences/ fines) and a Very High inherent risk
Residual risk rating 2019/20	<b>Medium</b>	

**Residual Risk Direction:** No change



### 2. H&S training delivery

#### Assurance statement

This year's risk rating remains unchanged. HSEPO has delivered a comprehensive training plan. However, there remains gaps in training logs and varying levels of attendance. H&S training requirements are not optional and mandatory training needs to be attended to satisfy our legal duties. It remains essential that all colleagues attend the right H&S course at the right times and that on the job training is being refreshed, despite busy work commitments. It is up to management to ensure that all colleagues requiring H&S training are trained and released from workplaces to attend.

#### Assurance Assessment

Inherent risk rating	<b>High</b>	No change to inherent risk
Residual risk rating 2019/20	<b>Medium</b>	

**Residual Risk Direction:** No change



### 3. H&S Audits, Inspections and Site visits

#### Assurance Statement

This year's risk rating has slightly deteriorated due to the results of the audits conducted. At this point, there is not a full suite of audits for the whole Council, therefore it would be premature to provide a completely conclusive assessment. A general observation is regarding the quantity and quality of service area departmental inspections. The new iAuditor software was introduced for H&S internal audits. With Leisure services now using an external contractor to audit their service, this released resource to audit civic-based service areas.

#### Assurance Assessment

Inherent risk rating	Medium	No change to inherent risk
Residual risk rating 2019/20	Medium	

**Residual Risk Direction:** Deteriorated



### 4. Accidents, Incidents, Investigations and learning

#### Assurance statement

A strong level of usage and improvements in reporting, as well as the quality and quantity of near miss and hazard reports have seen the Council's overall performance reach a tentative low risk rating. As stated last year it was a realistic expectation that once the new AssessNET reporting was fully embedded, the residual risk rating would improve.

#### Assurance Assessment:

Inherent risk rating	High	No change to the inherent risk
Residual risk rating 2019/20	Low	

**Residual Risk Direction:** Improving



## 5. Occupational Health and promotions

### Assurance statement

The residual risk has slightly deteriorated but remains at medium risk rating due to current controls. The HSEPO has worked hard to maintain compliance and achieved some significant work streams during the temporary administration support. However, significant periods of high support requests and external factors have also affected this risk area. The temporary assistance has now also ceased.

### Assurance Assessment

Inherent risk rating	High	No change to inherent risk
Residual risk rating 2019/20	Medium	

**Residual Risk Direction:** No change

