



Regularity audit of Health & Safety reporting

Date of meeting 6 September 2024

Date of report 1 August 2024

Report by Chief Executive

1. Object of report

To advise the committee on the findings of a regularity audit of Health & Safety reporting. This engagement is included in the annual Internal Audit plan for 2024/2025.

2. Background to report

Health & Safety is governed by legislation, the Health & Safety Executive (HSE) and the Office of Rail and Road (ORR). SPT requires to comply with workplace law including:

- Health & Safety at Work etc Act 1974;
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995;
- Management of Health & Safety at Work Regulations 1999;
- Railway and Other Guided Transport Systems (Safety) Regulations (ROGS).

SPT is committed to pursuing high standards of Health & Safety as an integral part of the efficient and effective management of the organisation. SPT activities are planned and delivered to ensure, as far as is reasonably practicable, the health, safety and welfare for all stakeholders affected by its operations.

The objective of this engagement was to review Health & Safety reporting arrangements.

This engagement tested elements of the internal controls and mitigation against SPT 22: Governance arrangements, as identified in the Corporate Risk register.

3. Outline of proposals

SPT has a Corporate Health & Safety policy and a Subway specific policy which incorporate ROGS, to support the Statement of Intent.

Health and Safety systems, records, and reporting, including committee reporting to the Personnel committee, arrangements are in place.

Engagement testing identified a requirement to update the Health & Safety intranet and web pages and consider implementing a Health & Safety assurance map and risk register.

There are areas for improvement which are addressed by recommendations which can be found at Appendix 1. Health & Safety management has agreed to implement the recommendations, which is currently being actioned.

Key controls exist and are applied consistently and effectively in most areas reviewed. Sound assurance in most areas can be taken from the areas covered in this engagement.

4. Committee action

The Committee is asked to note the contents of this report and agree that the Audit and Assurance Manager submits a follow-up report on the implementation of the recommendations to a future meeting.

5. Consequences

Policy consequences	<i>None.</i>
Legal consequences	<i>None.</i>
Financial consequences	<i>None.</i>
Personnel consequences	<i>None.</i>
Equalities consequences	<i>None.</i>
Risk consequences	<i>As detailed in the report.</i>
Climate Change, Adaptation & Carbon consequences	<i>None.</i>

Name Lesley Aird
Title **Director of Finance & Corporate Support**

Name Valerie Davidson
Title **Chief Executive**

For further information, please contact *Iain McNicol*, Audit and Assurance manager on 0141 333 3195.

**Reasonable
assurance**

APPENDIX 1 Audit & Standards committee – 6 September 2024

Regularity audit of Health & Safety reporting

The recommendations from this engagement are listed in the following table. The priorities are defined as follows:

- High:** A fundamental control that should be addressed as soon as possible;
- Medium:** An important control that should be addressed within three months;
- Low:** An issue which is not fundamental but should be addressed within six months to improve the overall control environment.

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
1	<u>Information provision</u> The Health and Safety intranet and internet pages should be reviewed and updated, including provision of: <ul style="list-style-type: none">• Fire wardens list• Safety Management library;• Consideration should be given to inclusion of a safety tips and advice to improve journeys for staff and customers (e.g. use of escalators, ticket gates, platform safety, boarding a train, and bus station stances).	Low	Health and Safety management will update the intranet and internet pages. Health and Safety and Transport Operations management will consider the provision of safety tips and advice for customers.	Health & Safety Manager/ Head of Service Operations & Security (Subway) Head of Service Operations & Security (Bus Stations)	December 2024

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
2	<p><u>Assurance Map</u></p> <p>The Health and Safety Manager should consider the following:</p> <ul style="list-style-type: none"> • maintaining a Health & Safety risk register which reports into the Corporate Risk Register; and • compiling a Health & Safety assurance map. 	Low	<p>Health and Safety Management will consider and review risk reporting arrangements.</p> <p>An assurance map will be compiled as soon as resources permit.</p>	Health and Safety Manager	December 2024