



Systems review of Health and Safety reporting

Committee Audit and Standards

Date of meeting 15 September 2017 **Date of report** 27 April 2017

Report by Assistant Chief Executive (Business Support)

1. Object of report

To advise the committee on the findings of a systems review of health and safety reporting. This engagement is included in the annual Internal Audit plan for 2016/17.

2. Background

As background and context, during 2015/16, SPT delivered more than 12.7 million Subway journeys, had over 14 million entries/exits made at SPT bus stations and employed 550 staff, with over 400 of these employees working in key operational areas such as infrastructure, maintenance and bus regulators.

SPT's business and service delivery is governed by regulatory bodies including the Health and Safety Executive (HSE) and the Office of Rail and Road (ORR). SPT is subject to Health and Safety legislation, primarily the:

- Health and Safety at Work etc. Act 1974;
- Management of Health and Safety at Work Regulations 1999; and
- The Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS).

Health and Safety arrangements are governed by a Corporate Health & Safety policy and a Subway specific policy which incorporate ROGS, to support SPT's Statement of Intent.

The objective of this engagement was to undertake an end-to-end review of Health & Safety reporting arrangements in accordance with policy, protocol and procedures.

This engagement tested elements of the internal controls and mitigation against SPT 6: security and SPT 22: governance arrangements, as identified in the corporate risk register.

3. Outline of findings

An electronic (Axiom) system for recording accidents and incidents was introduced in 2016. The Axiom application permits staff at service delivery locations to record all types of accidents and incidents, dangerous occurrences and near misses regardless of severity. Management information and reporting has been enhanced from this initiative.

Health & Safety systems, records and reporting arrangements are in place. Engagement testing identified a requirement to review and enhance Health & Safety awareness to further strengthen current arrangements.

There are areas for improvement, and these areas have been addressed by seven audit recommendations. Health & Safety management have agreed to implement these recommendations.

4. Conclusions

The Audit and Assurance team has undertaken a systems review of health and safety reporting. Areas for improvement have been identified and seven recommendations have been agreed.

Key controls exist and are applied consistently and effectively in the majority of areas.

Reasonable assurance can be taken from the controls in place for the areas covered in this engagement.

5. 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 recommendation to a future meeting.

6. Consequences

Policy consequences	<i>None</i>
Legal consequences	<i>None</i>
Financial consequences	<i>None</i>
Personnel consequences	<i>None</i>
Social Inclusion consequences	<i>None</i>
Risk consequences	<i>As detailed in the report</i>

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