



# Risk Management Standards Assessment

Customer name: **Gloucester City Council**

Date of Assessment: **1<sup>st</sup> - 2<sup>nd</sup> June 2015**

Name of Assessors: **Vivien Gumble FCII & Grad. IOSH  
Risk Consultant (Casualty Practice)  
Zurich Risk Engineering UK**

## Summary

### Standards Achieved

<b>Combined Liability</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
<b>Motor</b>	<b><u>Below Minimum</u></b>	Minimum	Good	Best Practice
<b>Property</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice

### Overall Comments:

Zurich Risk Engineering UK have been requested to assess the risk management practices regarding general property, motor, employer and public liability at **Gloucester City Council** and to comment upon current measures in place to reduce losses and possible ways of further reducing risks.

This assessment also includes areas of improvement for the implementation of any additional loss control measures that may be required to assist in the further reduction of losses.

#### General Note:

Areas of improvement in this assessment where key areas could be reviewed and improved are highlighted in **bold text**.

Those highlighted in **bold and blue text** are key elements. If these minimum requirements are not met the local authority would not be able to achieve the minimum standard in that section

**The following provides definitions for the levels within the standard:**

**Below Minimum** – failure to have in place basic and fundamental systems and/or procedures.

**Minimum** – compliance with any relevant legislation, codes of practice and any other statutory requirements. Zurich would expect a local authority to be at this level.

**Good** – in addition to the minimum standard the local authority has exhibited systems and/or procedures that are in excess of their legal obligations.

**Best Practice** – exemplary systems and/or procedures are in place.

The following officers were interviewed:

Stephanie Payne	Audit, Risk Management & Value for Money Officer
Jeff Thomas	Health & Safety Advisor
Ed Pomfret	Health, Partnerships & Engagement Manager
Mark Foyn	Asset Manager (Acting)
Iona Lennon	Senior Building Works Officer
Kay Lillington	Landscape Architect
Sarah Gilbert	Guildhall Manager
Dan Charles	Programming & Marketing Manager (Guildhall)
Victoria Hollyhead	Events & Project Support Officer
Sadie Neal	Head of Business Improvement
Andrew Jackson	Cemeteries & Crematorium Assistant Manager & Registrar
Ian Elphick	Senior Countryside Ranger
Wendy Jones	Contact Centre & Customer Services Manager
Andrew Cummings	Management Accountant
Tom Fletcher	Accountancy Assistant
Hayley Taylor	Building Works Officer
Wayne Best	Environmental Protection Service Manager (Acting)
Lloyd Griffiths	Head of Neighbourhood Services (Acting)
Melloney Smith	Surveyor & Valuer
Anthony Hodge	Head of Regeneration & Economic Development
Gill Ragon	Head of Public Protection

## Combined Liability

### Overall Standard Achieved:

Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
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### Section Standards Achieved:

<b>Legislation</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
<b>Staff Training &amp; Awareness</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
<b>Use of Contracts &amp; Partnerships</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
<b>Hiring of Facilities</b>	Below Minimum	<b><u>Minimum</u></b>	Good	Best Practice
<b>Inspection &amp; Maintenance</b>	Below Minimum	<b><u>Minimum</u></b>	Good	Best Practice
<b>Claims Management</b>	Below Minimum	<b><u>Minimum</u></b>	Good	Best Practice

### Legislation

<b>Standard Achieved</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
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### Positive features:

- There are good systems in place to manage Health & Safety. Arrangements are reviewed periodically.
- A nominated Director and Council Member have undergone appropriate Health & Safety training and are responsible for and influential in Health & Safety management.
- A corporate Health & Safety policy is in place which is supported by service level policies and procedures.
- Health and Safety issues are communicated via intranet and e mail.
- Risk assessments are carried out locally with advice from the Health & Safety Advisor.
- A formal, structured Health & Safety Committee structure is in place (the Employee Forum) and is influential in implementing Health & Safety systems.
- Manual handling risks are well controlled with specific assessments carried out. Additional manual handling training is given.
- Comprehensive arrangements are in place to manage lone working but an overall risk assessment is required to identify lone workers.
- A formal policy and comprehensive arrangements are in place to manage Legionella within water systems.

- An asbestos management plan is in place for any asbestos present within council buildings. No council staff undertake work involving asbestos.
- A risk based approach has been taken to the provision of first aid, which is more than adequate.
- A working at height policy is in place and specific risk assessments completed. However a ladder inspection register is needed.
- Accidents are investigated and records are documented and retained in accordance with RIDDOR, INDG453 and HSG245.
- An Emergency Procedures Policy is in place. A formal programme of testing emergency equipment is in place and appropriate information, instruction and training is provided to relevant staff. Emergency scenario tests are carried out periodically.

**Areas for improvement:**

- **The proposal to run more risk assessment workshops is supported.**
- **Department risk assessments are carried out with help from the Health & Safety Advisor. A programme for auditing these should be formalised.**
- **A "ladder register" should be maintained for the inspection and maintenance of all equipment used for work at height.**
- **A variety of arrangements are in place to manage the lone working risk but not all employees perceive themselves to be lone workers. Conduct an overall risk assessment to identify lone workers and provide lone working training.**

**Staff Management and Training**

<b>Standard Achieved</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
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**Positive features:**

- Health & Safety training is managed by HR. Some Health & Safety training is provided in-house by the Health & Safety department.
- Health and Safety training is included within the induction process.
- The HR department are responsible for co-ordination of training but a Health & Safety training needs analysis has not been carried out. The Health & Safety department should be responsible for co-ordinating Health & Safety training according to job/role and this should feed into the HR database.
- A corporate wellbeing policy is in place but an overall stress risk assessment would be beneficial at this time of restructure and change.
- Stress awareness training is provided for managers.
- Staff have access to an independent counselling service.
- A robust Sickness / Absence Policy is in place. Regular contact with absent staff is maintained and reasonable adjustments are made to accommodate return to work.
- A competent person has been appointed for Health and Safety advice and management.

**Areas for improvement:**

- **A corporate Health & Safety training needs analysis should be conducted and mandatory training implemented and monitored according to job/role.**
- **The Health & Safety department should be responsible for co-ordinating Health & Safety training according to job/role and this should feed into the HR database.**
- **Health and safety training performance should be reported to the Senior Management Team (SMT) and Members.**
- **Ensure that all Health & Safety training is centrally recorded and records are readily available. A training record retention policy should be formalised.**
- **Statistically local authority workers are at high risk from stress. An overall stress risk assessment should be conducted at this time of restructure and change.**

**Use of Contractors and Partnership**

**Standard Achieved**

Below Minimum

Minimum

**Good**

Best Practice

**Positive features:**

- Procedures are in place to select and appoint competent contractors.
- Formal procedures are in place for contractor and partner performance monitoring.
- Contractors are closely supervised whilst on site by the Asset department &/or Custodians.
- Arrangements are in place to manage Construction, Design and Management Regulation requirements.

**Areas for improvement:**

- **See Inspection & Maintenance - Trees**

## Hiring of facilities

### Standard Achieved

Below Minimum

**Minimum**

Good

Best Practice

### Positive features:

- There is a wide variety of facilities available for hire, the most notable being the Guildhall, Museum and Blackfriars.
- Local formal processes for the hiring out of facilities are in place. For example there are good arrangements at the Guildhall.
- Formal application forms and contracts are issued to hirers.
- Discussions, emails and face to face agreements are well documented on a central database.
- Licence requirements are reviewed and renewed as appropriate.
- Inspections of facilities are carried out between hirings but not formally recorded unless a problem is found, in which case it is entered in the day book.

### Areas for improvement:

- **A corporate policy / procedure for hiring of facilities should be formalised to ensure a consistent approach across all venues.**
- **Either, contracts should include details on health and safety and emergency procedures at the venue or, when an initial site visit is carried out with the hirer, they should be issued with written instructions.**
- **Where appropriate, hirer's public liability insurance, H&S policy, risk assessments and evidence of first aid training should be provided.**
- **Inspections should be recorded in every instance in a formal inspection book or checklist. In other words if no issues are found between hirings it should be clearly recorded with date, time and signature as NIL DEFECTS FOUND.**

## Inspection and maintenance

### Standard Achieved

Below Minimum

**Minimum**

Good

Best Practice

### Positive features:

- A centrally managed asset register is in place. The asset register is regularly updated.
- A Procurement Policy and inspection and planned maintenance regimes are linked to the asset register.
- Programmed building inspections are determined by risk assessment.
- Contracts are in place for statutory inspections of plant and equipment. The inspection regime links to an inventory of plant and equipment. The inspection regime is audited periodically. Inspection records are retained for the life of the plant.
- A formal defect reporting procedure is in place. Training in defect reporting has not been provided.
- A defined risk based responsive repair system is in place using contractors.
- Inspection records are initially paper-based but then kept electronically according to building on a shared drive. Unfortunately daily inspections are not always recorded.
- A monthly inspection programme is in place for the management of car parks.
- A risk based inspection programme is in place for the management of play areas.
- An inspection programme for the management of the tree stock is the responsibility of Amey but cannot be evidenced. See comments below.

### Areas for improvement:

- **A corporate, council-wide inspection policy / strategy should be formalised and implemented. This will ensure a consistent, risk based approach and clearly identify any deficiencies and opportunities for improvements and or efficiencies.**
- **Although there is a defect reporting system in place for the Guildhall and Warehouses, daily records are not always kept. Ensure that all defects and the actions taken are recorded.**
- **A corporate inspection regime record retention policy should be formalised. This should detail the area inspected, the date of inspection, inspector details and any problems found together with remedial action taken. Reporting should always be positive. In other words, there should always be a report to prove that at that particular time there was no defect.**
- **Implement a council-wide tree policy / strategy and ensure that inspections are carried out on a risk-prioritised basis, recorded by Amey, available to Gloucester City Council staff, and regularly audited.**
- **Defects found should be formally defined and instruction / training provided for inspectors.**
- **All actions as a result of inspections should be prioritised and scheduled according to safety. This is particularly important for play areas.**

Claims Management				
Standard Achieved	Below Minimum	<b><u>Minimum</u></b>	Good	Best Practice
<b>Positive features:</b>				
<ul style="list-style-type: none"> <li>• There is a central claims contact with formal claims procedures in place. Adequate cover is on place to cover absence.</li> <li>• Claims procedure instruction and training has been provided for relevant staff. There are proposal to train 2 extra persons.</li> </ul>				
<b>Areas for improvement:</b>				
<ul style="list-style-type: none"> <li>• <b>Periodic loss analysis should be carried out and reports shared with relevant departmental managers. This could include key lessons learned in the form of recent cases "won" and "lost".</b></li> <li>• <b>Issue council-wide guidance on who to contact in the event of a claim and what immediate action to take.</b></li> <li>• <b>Issue information to departments on the Ministry of Justice (MOJ) reforms, to explain why evidence of maintenance and inspection is required within short timescales. See attached MOJ reforms.</b></li> </ul>				



## Motor

Overall Standard Achieved:				
<u>Below Minimum</u>	Minimum	Good	Best Practice	
Section Standards Achieved:				
<b>Driver and Staff Management</b>	<u>Below Minimum</u>	Minimum	Good	Best Practice
<b>General Vehicle Management</b>	<u>Below Minimum</u>	Minimum	Good	Best Practice
<b>Specialist Vehicle Management</b>	<u>Below Minimum</u>	Minimum	Good	Best Practice
<b>Depot Management</b>	<u>Not applicable</u>	Minimum	Good	Best Practice
<b>Claims Management</b>	Below Minimum	<u>Minimum</u>	Good	Best Practice
Driver and Staff Management				
Standard Achieved	<u>Below Minimum</u>	Minimum	Good	Best Practice
<b>Positive features:</b>				
<ul style="list-style-type: none"> <li>• Most services involving the use of vehicles for work have been out sourced to Amey.</li> <li>• There is no longer a working council depot.</li> <li>• The council-owned fleet is less than 20 vehicles managed locally by the Countryside, Crematorium or Customer Services departments.</li> <li>• In the case of Customer Services, any council employee can ask for keys to the vehicle upon signing a declaration that they have a licence.</li> <li>• Driver licence or medical fitness to drive checks are not undertaken on a regular basis.</li> <li>• There is no Driving at Work policy, although there is "Good Driving" guidance for casual drivers. .</li> </ul>				
<b>Areas for improvement:</b>				
<b><u>In view of the small number of vehicles a proportionate approach is suggested i.e.:-</u></b>				
<ul style="list-style-type: none"> <li>• <b>An occupational road risk (Driving at Work) policy should be implemented that covers <u>all</u> driving that takes place within the council.</b></li> <li>• <b>It is suggested that department managers nominate authorised drivers of the council-owned vehicles and a list is maintained by Customer Services, rather than being able to drive the vehicles on demand.</b></li> </ul>				

- Annual driver licence checks should then be conducted for all authorised drivers of council owned vehicles. This could be done by the DVLA who should check points, medical fitness and licence category.
- The appropriate class of licence needs to be checked against the vehicle/plant as some licences now require that a specific trailer test be completed before towing.

### General Vehicle Management

#### Standard Achieved

**Below  
Minimum**

Minimum

Good

Best Practice

#### Positive features:

- There is no longer a working council depot.
- The council-owned fleet is less than 20 vehicles managed locally by the Countryside, Crematorium or Customer Services departments.
- The maintenance of vehicles and MOT testing are the responsibility of the local manager
- There are 3 different daily vehicle inspection systems in place. In the case of Customer Services, the Custodians do the daily checks rather than the driver.
- Vehicles, trailers and expensive equipment are locked in compounds or storage units overnight.

#### Areas for improvement:

- Roles and responsibilities for managing this small fleet vehicles should be formalised, so that central records can be kept and schedules monitored for the servicing and MOT of vehicles.
- Daily vehicles inspections should be consistent across the council and undertaken by the driver, even in the case of several different drivers in one vehicle in one day.

## Specialist Vehicle Management

Standard Achieved

**Below  
Minimum**

Minimum

Good

Best Practice

**Positive features:**

- There are a number of specialist vehicles within this small fleet.

**Areas for improvement:**

- **As plant, machinery and vehicles age, service and maintenance cost versus capital expenditure increase, which places pressure on limited departmental resources. Consider the centralised management of safety inspections, servicing and maintenance.**
- **See comments above.**

## Depot Management

Standard Achieved

**Not applicable**

Minimum

Good

Best Practice

**Positive features:**

- There are no longer any working depots but vehicle and plant security is generally appropriate.

**Areas for improvement:**

- **A security audit of the storage facilities should be considered.**

## Claims Management

Standard Achieved

Below Minimum

**Minimum**

Good

Best Practice

**Positive features:**

- See comments under Combined Liability.

**Areas for improvement:**

- See comments under Combined Liability.

## Property

Overall Standard Achieved:				
Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice	
Section Standards Achieved:				
<b>Facilities Management</b>	Below Minimum	Minimum	Good	<b><u>Best Practice</u></b>
<b>Fire Safety Management</b>	Below Minimum	Minimum	Good	<b><u>Best Practice</u></b>
<b>Fire Inception Risks</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
<b>Fire Development Risks</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
<b>Fire Control Systems</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
<b>Building Security</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
<b>Storm and Flood Protection</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
<b>Unoccupied Premises</b>	Below Minimum	Minimum	<b><u>Good</u></b>	Best Practice
<b>Claims Management</b>	Below Minimum	<b><u>Minimum</u></b>	Good	Best Practice

## Facilities Management

### Standard Achieved

Below Minimum

Minimum

Good

**Best Practice**

#### Positive features:

- All properties are managed or overseen from the centre by the Asset department responsible for ensuring high standards of property management. Regular reviews of risk assessments and property management are undertaken and detailed surveys of council buildings have been carried out and used to plan maintenance work.
- There are comprehensive 5 yearly Planned Preventative Maintenance reports with estimated costings which feed into a 5-year Asset Management strategy with aims, objectives and annual targets.
- Statutory tests and inspections are well controlled with a system of red folders on site with central electronic back-up copies. Building Manager and Custodian weekly checks are audited annually.
- Daily "housekeeping" checks are undertaken but the recording of these could be improved – see Inspection under Combined Liability.
- A comprehensive Business Continuity Plan (BCP) is in place, including full emergency plan tests. The plan is supported by department action plans.

#### Areas for improvement:

- **Although there is a defect reporting system, daily records are not always kept. Ensure that all defects and the actions taken are recorded.**

## Fire Safety Management

### Standard Achieved

Below Minimum

Minimum

Good

**Best Practice**

#### Positive features:

- Jeff Thomas is the appointed Fire Safety Manager, with responsibility for implementing good standards of fire safety management.
- Fire risk assessments have been completed
- Fire safety policies and procedures are in place and roles and responsibilities are defined.
- Relevant information is readily accessible to all staff. Good standards of staff training are provided including specific roles such as Fire Marshalls
- Comprehensive and documented site inspections are completed weekly
- A permit to work system for the control of contractors is in place.

#### No areas for improvement:

## Fire Inception Risks

Standard Achieved

Below Minimum

Minimum

**Good**

Best Practice

### Positive features:

- Main electrical installations in council occupied buildings are inspected at least every 5 years.
- Heating systems are maintained under annual maintenance contracts.
- Smoking is restricted to designated external areas and is strictly enforced.
- Portable appliance testing is in place.
- Fire blankets and fire extinguishers are provided to kitchen areas.
- Where practical, external waste is secured/immobilised 8m from the buildings.

### Areas for improvement:

- **If possible, the use of portable heaters should be prohibited.**
- **Kitchen extraction systems above deep fat fryers should be cleaned weekly and the main extract system should be subject to a programme of deep cleaning. This needs to be audited.**

## Fire Development Risks

Standard Achieved

Below Minimum

Minimum

**Good**

Best Practice

### Positive features:

- Daily "housekeeping" checks are undertaken but the recording of these could be improved – see Inspection under Combined Liability.
- Fire doors are inspected weekly and regularly maintained to ensure they close effectively. Where fitted electro-magnetic door open devices are linked to automatic fire alarm, their activation is tested weekly.

### Areas for improvement:

- **Consider implementing a programme to inspect and maintain compartment walls. Records should be kept of these inspections.**

## Fire Control Systems

Standard Achieved

Below Minimum

Minimum

**Good**

Best Practice

### Positive features:

- Automatic fire detection systems are installed to British Standard 5839-1:2013 to selected areas of the buildings. Systems are tested weekly and maintained under an annual maintenance contract. Some systems are linked to an alarm receiving centre via BT RedCARE.
- Automatic fire alarms shut down some services.
- Fire extinguishers are installed and maintained to BS5306 Part 8: 2000 and are checked weekly. An external maintenance contract is in place.

### Areas for improvement:

- **Business critical areas such as the main Server Rooms should be protected by a gaseous fire suppression system. A maintenance programme including room integrity testing should also be implemented.**
- **Sprinkler systems have proved to be the best fire protection system for most property risks. Sprinkler system installation should be considered for any major rebuilds or refurbishments.**

## Building Security

Standard Achieved

Below Minimum

Minimum

**Good**

Best Practice

### Positive features:

- Most buildings have intruder alarm protection, incorporating signalling to an approved monitoring centre.
- CCTV systems provide surveillance of main locations.
- There is an electronic access control system to most main buildings.

### Areas for improvement:

- **Security marking using a prominent and permanent method, such as branding, etching or engraving could be considered for valuable contents. Advisory signs should be prominently displayed throughout the buildings.**

## Storm and Flood Protection

Standard Achieved

Below Minimum

Minimum

**Good**

Best Practice

### Positive features:

- A considerable amount of very commendable work has been undertaken to protect the Public since the floods of 2007.
- Potential flood locations have been risk assessed and effective flood protection measures put in place.
- 38 pinch points on watercourses are regularly inspected by Amey and there is an effective emergency team in place.
- The Asset department oversee a programme of external drain and gutter cleaning.
- However specific flood risk assessments have not been completed for council-owned buildings in high risk areas, albeit these were relatively unaffected in 2007.

### Areas for improvement:

- **Undertake flood risk assessments for council owned properties particularly the Warehouses and Oxtall Leisure Centre which is on a flood plain.**
- **Include the risk of flood and issues of accessibility within the overall Business Continuity Plan. Include regular input from the flood management team.**

## Unoccupied Premises

Standard Achieved

Below Minimum

Minimum

**Good**

Best Practice

### Positive features:

- There is a void property policy.
- A risk-based approach is taken to managing unoccupied premises.
- Fire and security systems are maintained and the letter box is sealed. Combustible contents are removed and a monthly recorded inspection regime in place.
- Water/ services are drained down in the winter and isolated or disconnected.

### Areas for improvement:

- **Where possible, inspect empty buildings weekly.**
- **Ensure that there is always a record when an inspection is carried out, e.g. the inspection has identified and recorded no defects or problems.**



Claims Management				
Standard Achieved	Below Minimum	<b><u>Minimum</u></b>	Good	Best Practice
<b>Positive features:</b>				
<ul style="list-style-type: none"> <li>• See comments under Combined Liability.</li> </ul>				
<b>Areas for improvement:</b>				
<ul style="list-style-type: none"> <li>• See comments under Combined Liability.</li> </ul>				
<p><b>If the customer requires more information or support regarding the contents of this assessment, please contact your Risk and Insurance Consultant.</b></p>				

**Appendices attached:-**

- Trees inspections – Loss scenario
- The Ministry of Justice (MOJ) reforms

**Web links:-**

- <http://www.hse.gov.uk/event-safety/incidents-and-emergencies.htm>