

| | |
|-------------------------------------------|-------------------------------|
| Open Government status: Open | Paper Number: H7/01 |
| Meeting Date: 23 rd March 2009 | |
| Exempt Material: None | Type of Paper: Above the Line |

HELA

Section 18 – update

Cleared by Tony Hetherington - Local Authority Unit

Introduction

1. The HELA meeting on the 20th October 2008 received a report on the proposed Quality Assurance System to provide continued assurance that enforcing authorities (EAs) are making adequate arrangements for enforcement in line with the new S18 Standard.
2. The proposed quality assurance system is one of self-assessment, peer review and action plans. The approach mirrors the methodology developed by LACoRS (Local Authority Coordinators of Regulatory Services) and adopted by LBRO (Local Better Regulation Office). It would function at a regional liaison group level, be facilitated by Partnership Teams and be specific to FOD and LA health and safety at work activities.
3. Below is an update on current activities for HELA to note and make comments as appropriate.

Update

4. **Secondments** - Marcus Herbert an LA practitioner with Reading B.C. will be seconded to HSE from 15th April 09 to both help develop the Capacity and Performance Management toolkits and work on Partnership issues in FOD's ESE Division. Similarly, David Humphreys an ex-policy officer with LAU has been seconded to LACoRS to develop governance issues following the Partnership evaluation.
5. **Toolkits** – Work allocated to Paul Kloss (Competence), Marcus Herbert (Capacity/Performance Management) David Humphreys (Governance) and Partnership Liaison Officers (PLO's) (Management Infrastructure, Partnership, Information Systems and review existing Toolkits). Toolkits will be completed by July 09 and available for use by September 09.
6. **Self-Assessment Tool/Peer Review Process** – Work on these aspects allocated to Gerry Kasprzok and supported by PLO's/Task and Finish Group – Proposals to be finalised in July 09 - Regional Liaison Groups have been identified to test and further develop guidance.
7. **Mapping FOD Compliance** – there is a parallel work stream allocated to Shirley Howes that is gathering evidence of FOD's method of complying with the S18 Standard. The development of the toolkits, mapping FOD compliance and development of the self-assessment tool will be an iterative process.

8. **World Class Coalition – The Excellence Framework** – Discussions held with LBRO on their excellence framework for LA regulatory services. This excellence framework and the Section 18 Standard are compatible and reinforce each other where they overlap, although aimed at different levels, i.e. the former is strategic and organizational whilst the latter has greater focus. A key task now is to identify where the two map directly and to discuss further use of peer review. We would see full compliance with the S18 Standard by all LAs as being equivalent to achieving the "world class" standard for H&S regulation. We also aim to ensure demonstrating compliance with S18 supports demonstration of compliance with the LBRO framework.
9. **World Class Coalition – Competence** – Discussions held with LBRO on the wider use/adoption of the Regulatory Development Needs Assessment Tool. The RDNA Tool will form part of the S18 Standard Toolkit on competence.
10. **Sharepoint 2007** – Discussions continue regarding the feasibility of upgrading the HEx software to Sharepoint 2007, which will enhance the ability for HEx to host the self-assessment process.
11. **Priority Planning Guidance/Incident Selection Criteria** – These tools are currently out for consultation and will need incorporating in to the existing toolkit on Commitment, Priorities and Planning.
12. **Partnership Conferences** – Presentations on the proposed quality assurance system was included in the National Partnership conferences in England and Wales and the regional conferences in the Yorkshire/North East, North West and South West.
13. **Outline Plan** – An outline plan has been discussed at the LACoRS Policy Forum and Partnership Managers meeting and is available at Annex 1.

Contact:

Gerry Kasprzak
Local Authority Unit
VPN 526 8046
Tel. 01603 828046
Fax. 01603 828055
gerry.kasprzak@hse.gsi.gov.uk

Annex 1 - S18 Outline Plan

| Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov |
|--------------------------|---------------------------------|-------------------------|----------------------------------|------------------------------------------|----------------------------------------------|-----|------------------------------------|---------------------------|-----------------------------------|
| Toolkits | | | | | | | | | |
| Competence (PK+SH) | Competence ¹ (PK+SH) | | | | | | | | |
| | | Governance (DH) | Governance ² (DH) | | | | | | |
| | Capacity (MH+IA+CM+AM) | Capacity (MH+IA+CM+AM) | Capacity (MH+IA+CM+AM) | Capacity ³ (MH+IA+CM+AM) | | | | | |
| | | | Perf Man (MH+IA+SS+CM+AM) | Perf Man (MH+IA+SS+CM+AM) | Perf Man ⁴ (MH+IA+SS+CM+AM) | | | | |
| | Partnership (PK+CM) | Partnership (PK+CM) | Partnership ⁵ (PK+CM) | | | | | | |
| | Info Sys (PK+ST) | Info Sys (PK+ST) | Info Sys ⁶ (PK+ST) | | | | | | |
| | Man Infrs (PK+PO) | Man Infrs (PK+PO) | Man Infrs ⁷ (PK+PO) | | | | | | |
| | | | Review TK's (All PLO's +GK) | Review TK's ⁸ (All PLO's +GK) | | | | | |
| | | | | | Final TK sign off ⁹ (GK +PK) | | Launch Toolkits | | |
| Compliance System | | | | | | | | | |
| Dev Self Assessment(GK) | Dev Self Assessment(GK) | Dev Self Assessment(GK) | Dev Self Assessment(GK) | Dev Self Assessment(GK) | Finalise Self assessment ¹⁶ (GK) | | Test Self assessment ²⁰ | | |
| | Dev Peer Review (GK) | Dev Peer Review (GK) | Dev Peer Review (GK) | Develop Peer Review (GK) | Finalise Peer review ¹⁷ (GK) | | Test Peer Review ²¹ | Report to HELA | |
| | | | Dev Reporting System (GK) | Develop Reporting System (GK) | Finalise Reporting System ¹⁸ (GK) | | | | PR Publicity/Launch ²⁴ |
| FOD Compliance (SH) | FOD Compliance (SH) | FOD Compliance (SH) | FOD Compliance (SH) | FOD Compliance (SH) | Finalise FOD Compliance (SH) | | | PM Training ²² | 1st tranche of Peer reviews |

| Abbreviations |
|-----------------------|
| PK = Paul Kloss |
| SH = Sharon Humphreys |
| DH = David Humphreys |
| MH = Marcus Herbert |
| IA = Ian Andrews |
| CM = Ceri Morris |
| SS = Spencer Scott |
| AM = Alistair McGowan |
| ST = Sue Thalange |
| PO = Paul Osborne |
| GK = Gerry Kasprzak |

