

CAERPHILLY COUNTY
BOROUGH COUNCIL

CORPORATE MANAGEMENT
ARRANGEMENTS FOR
LONE WORKING

August 2008
Issue 2

Contents

SECTION		PAGE NUMBER
SECTION 1	ARRANGEMENTS	3
SECTION 2	SUPPORTING DOCUMENTS	8
APPENDIX 1	Generic Lone Working Risk Assessment	9
APPENDIX 2	Lone Working Medical Questionnaire	13
APPENDIX 3	Generic Procedure For Lone Visits	16
APPENDIX 4	Lone Working Visit List	20

This publication is available in Welsh, other languages or formats on request.
Mae'r cyhoeddiad hwn ar gael yn Gymraeg ac mewn ieithiodd neu fformatau eriall ar gais.

NOTE

Wherever the designation “manager” is used throughout this policy, it is taken to mean Head of Service, Head Teacher, Line Manager, Supervisor and the Officer in charge or anyone who has responsibilities for employees in the course of their work.

ARRANGEMENTS

This document sets out the Corporate management arrangements for implementing the Lone Working Policy. These arrangements should be read in conjunction with Issue 2 of the Lone Working Policy, Corporate Health and Safety Unit Document Reference Number CHSU6.

1.1 Lone Workers:

1.1.1 Lone workers are those who work by themselves without close or direct supervision. They are found in a number of jobs in the Authority. Some examples are:

- People working alone in Authority offices with no close supervision, for example an interview room, reception, post rooms, residential homes and day centres.
- People working totally alone in a building, department or service with no one in close proximity, for example, cleaners, premises officers, staff in training establishments and libraries.
- People working alone or with a customer or client in their home where there are no other persons that could provide assistance. For example, home care workers, social workers, rent collectors, property services and building works repair operatives.
- People working outside normal hours, for example support staff, maintenance or repair staff, telephonists and emergency duty team.
- People working in premises that are 'closed,' such as schools at weekends and during term holidays, in void properties, or in areas of premises that are primarily empty.
- People working on their own away from their fixed base or in premises not occupied by their normal client base, for example in the street, construction site.
- People working alone out of normal hours in an office.
- Employees working outside the normal flexi bandwidth, for example, Environmental Health Officers, Health and Safety Officers, Parking Control Officers.

1.2 Risk Assessments:

1.2.1 The Management of Health and Safety at Work Regulations 1999 place a duty on the Authority to make a suitable and sufficient assessment of the health and safety risks to which its employees (and others not in its employment) may be subjected.

1.2.2 Risk assessment is a line management responsibility for those who are responsible for lone working activities.

1.3 Contents of the Risk Assessment:

1.3.1 The assessment must identify and assess any specific risks associated with lone working, taking into account the hazards, who is at risk, an evaluation of severity and frequency of the hazards causing risk, the current controls in place to reduce the risk, and any residual risk. It may be necessary to take the following considerations into account during a risk assessment:-

- The demands of the job, and whether it can be done safely by a lone worker;
- Availability of suitable means of communication to seek assistance, particularly in an emergency, such as a mobile phone or radio, or proximity to a landline telephone if working indoors;
- The fitting out and layout of the workplace, and the general nature of the particular site where a lone worker will be working;
- The nature of any physical, biological and chemical agents they will be exposed to, for how long and to what extent, e.g. cement, glues, mastics and sealants, cleaning chemicals;
- What type of work equipment will be used and how this will be handled;
- How the work and processes involved are organised (eg can the work be done, or work equipment be operated, safely by a single person?);
- The need to assess and provide health and safety training;
- The requirement for any personal protective equipment;
- Any specific needs or health conditions of the individual lone worker. It is recognised that the Authority can only act on health information that is in their possession;

- Requirement for any local arrangements that allow managers, supervisors and/or support staff to check where staff are working alone at different times of the working day (eg. a booking in/out procedure and/or use of an electronic calendar providing details such as location and times of visits planned during the day).
- 1.3.2 Managers must follow up any hazards identified within the risk assessment with arrangements to ensure the risk are either eliminated or adequately controlled. When it is not possible to devise arrangements for the work to be carried out safely by one person, alternative arrangements providing help or back up must be devised.
- 1.3.3 Risk assessments must be carried out by a competent person (ie someone with the necessary knowledge, experience, skills and training).
- 1.3.4 Risk assessments must identify and consider work activities that are, due to the nature of the work and inherent high risks involved, unsuitable for lone working.
- 1.3.5 An example generic risk assessment for lone working is provided in [Appendix 1](#) for guidance purposes.
- 1.4 Assessment Records:**
- 1.4.1 Any lone working risk assessments carried out must be kept by the line manager until a new assessment is made.
- 1.4.2 Lone working risk assessments should be reviewed at least annually, or sooner when there is reason to suspect that the assessment is no longer valid, or there has been a change in the work to which the assessments relates.
- 1.5 Medical Fitness For Lone Working:**
- 1.5.1 The Authority, through the Occupational Health Department, shall check that all new employees likely to undertake lone working have no medical conditions that may affect their ability or suitability to work alone safely during the course of routine pre-employment screening. Such screening is conducted for all new appointed employees prior to their employment with the Authority commencing.
- 1.5.2 Those with line management responsibilities for employees that may work alone shall, following a risk assessment, refer to Occupational Health any employee diagnosed with, or undergoing medical tests for, any medical condition that may affect their suitability or ability to work alone safely. Such medical conditions include (but is not exclusive to) those listed in Section B of the Lone Working Medical Questionnaire (see [Appendix 2](#)). The referral of employees to Occupational Health shall be conducted by completing the Lone Working Medical

Questionnaire [see [Appendix 2](#)] and/or completing an OH1 '*Request For Medical Assessment*' form.

- 1.5.3 Any employee or member of staff with line management responsibilities with concerns for their suitability to work alone may obtain advice from Occupational Health if required.

1.6 Violence to Staff:

- 1.6.1 Any employee who feels that they have experienced an act of aggression, either physical or verbal, must verbally report it as soon as reasonably practicable to their Supervisor/Manager in accordance with the Violence at Work Policy and associated guidance.

- 1.6.2 This is to be followed up with a written statement of events using the standard Violent Incident Report Form within 48 hours, or if it falls on the weekend, within 2 working days.

- 1.6.3 The Supervisor/Manager must include on the Violent Incident Report Form actions taken to prevent a recurrence.

- 1.6.4 The completed Violent Incident Report form should be signed by the employee and their manager who will forward a copy to the Directorate Health and Safety Officer and Corporate Health and Safety Unit. The Directorate Health and Safety Officer will then arrange for the incident to be investigated if appropriate.

1.7 Violence at Work Register:

- 1.7.1 The Authority has implemented an electronic Violence at Work Register (INCHECK). The system allows for the checking of names and address prior to any visits being carried out that should be used in accordance with the Violence at Work Policy.

- 1.7.2 It is imperative that the relevant checks are carried out **prior** to visits in accordance with the Violence at Work Policy, particularly for lone working. This should be used to ensure that suitable and sufficient controls are put in place.

1.8 Supervision:

- 1.8.1 Although lone workers cannot be subject to constant supervision, the Authority has a responsibility to ensure their health and safety while at work. Supervisors must ensure that employees understand the risks associated with the job and carry out the work safely.

- 1.8.2 The extent of supervision required depends on the risks involved and the ability and experience of the lone worker. The level of supervision is a management decision, and should be based on the findings of the risk assessment.

1.9 Training:

- 1.9.1 Where identified through the risk assessment, relevant training should be provided to lone workers. The training should enable lone working employees to know and understand the expectations and limitations of their work, understand the risks associated with their work and precautions to take, and know when to stop work and seek advice. Training may also include physical and verbal violence diffusion techniques and personal safety etc.
- 1.9.2 A generic procedure for lone working visits is provided in [Appendix 3](#) for reference, providing advice on suitable risk-control measures for minimising the risks associated with lone working. The procedure may be modified according to the nature of the work activity to be undertaken and the work environment concerned, and be used to form part of the training, information and instruction of lone workers.

1.10 Emergency Procedures:

- 1.10.1 Lone workers should be capable of responding correctly to emergencies. The risk assessment should identify foreseeable events.
- 1.10.2 Emergency procedures should be established and communicated to employees who will work alone, or have delegated responsibility for contacting lone workers.
- 1.10.3 The risk assessment should consider first aid requirements, and determine whether lone workers (notably mobile workers) should carry a first-aid kit. Where the risk assessment shows there is a need for a first aid kit to be provided this should contain at least the minimum stock of first aid items specified by the HSE (see 'Supporting Documents' for details of where to obtain this information). Those provided with first aid kits should not administer first aid on anyone else, unless they have been trained to do so.
- 1.10.4 Occasionally the risk assessment may indicate that lone workers need training in first aid.

1.11 Accident Reporting:

- 1.11.1 All managers must investigate and report all accidents and incidents in line with the Authority's policy relating to accident reporting and investigation.

1.12 Weather Conditions:

- 1.12.1 When lone workers are working outdoors, they are expected to act appropriately to the changing weather conditions.

1.12.2 If the change in weather conditions makes it genuinely unsafe to continue with works, then employees should stop work until it is safe to carry on.

2. SUPPORTING DOCUMENTS

2.1 Guidance:

2.1.1 *Working Alone in Safety* – HSE Guidance INDG 73, available online from www.hse.gov.uk/contact/faqs/workalone.htm

2.1.2 First Aid At Work: Your Questions Answered – HSE Guidance INDG214, available online from www.hse.gov.uk/firstaid

2.1.3 Caerphilly County Borough Council's Policy on Violence at Work.

2.1.4. Caerphilly County Borough Council's Policy on Young Persons /Work Experience.

2.1.5 Caerphilly County Borough Council's Policy on Home Working.

2.1.6 Caerphilly County Borough Council's Policy on Risk Assessment.

APPENDIX 1 – GENERIC LONE WORKING RISK ASSESSMENT



Activity / Workplace Assessed: Lone Working
 Persons consulted / involved in risk assessment:
 Date:
 Reviewed On:

Location / Department:
 Risk Assessment Reference Number:
 Review Date:
 Reviewed By:

Significant Hazard (* see prompt list below – not exhaustive)	People at risk and what is the risk Describe the harm that is likely to result from the hazard (e.g. cut, broken leg, chemical burn etc.) and who could be harmed (e.g. employees, contractors, visitors etc.)	Existing control measures What is currently in place to control the risk?	Risk rating Use matrix identified in guidance note Likelihood (L) Severity (S) Multiply (L) * (S) to produce Risk Rating (RR)				Further action required What is required to bring the risk down to an acceptable level? Use hierarchy of control described in guidance note when considering the controls needed.	Actioned to: Who will complete the action?	Due date: When will the action be complete by?	Completion date: Initial and date once the action has been completed
			L	S	RR	L/M/H				
Violent/ abusive behaviour towards Individual including verbal abuse, threatening behaviour and actual bodily harm	Various employees across the Authority have the potential for injury and stress as a result of dealing with irrate or emotional individuals.	<ul style="list-style-type: none"> - Violence at work registers checks, reporting etc. - Lone working not permitted where applicable. - Corporate lone working policy. - Local lone working arrangements. - Conflict Management training. - Personal Safety Training for individuals dealing with Cash. - Barriers used in offices where public visit. - Emergency panic buttons available. - Personal attack alarms are provided where required. 					<ul style="list-style-type: none"> - Local arrangements to be developed into written working procedures - Guidance to be provided to staff to reflect personal safety measures that can be taken e.g Parking of vehicles to aid getaway, avoid conflict with gangs/youths etc. 			
Lack of monitoring, supervision or contact	Employees within the authority at risk from accident, ill heath, violence and aggressive incident	<ul style="list-style-type: none"> - Local arrangements to ensure contact between manager (or designee) and individuals on periodic basis. - Arrangements to ensure that manager are aware of individual's appointments whilst out of office and approximate timescales. - Mobile phone to be carried that is fully charged and pre programmed with emergency numbers for field based staff. 					<ul style="list-style-type: none"> - Ensure that individuals are aware of local arrangements and of how to operate mobile phone where applicable. 			

Lone Working Policy Corporate Management Arrangements - Appendix 1

Out of Hours Work – Lack of monitoring and supervision.	As above	In addition to the above: – Violence at work register checks available via the control centre (24 hrs at day 365 days a year)					– Ensure staff are aware of out of hours arrangements – Ensure that arrangements are in place for adequate supervision of staff when working out of hours.			
Lack of awareness by young people	As above	Young Persons are not to work alone.								
Individuals with specific health issue which presents a hazard when working alone	Employees with Health Condition(s)	- Occupational Health screening of all lone workers. - Full medical assessment undertaken where required - Some individuals may require extra precautions or may be excluded from specific tasks.					- If individual requires extra precautions then a specific risk assessment must be undertaken for that individual in conjunction with Directorate Safety Officers and Occupational Health.			
Accident/ Emergency/ Personal Injury	Various incidences could occur to employees such as injury due to slip/trip/fall, RTA etc	- If identified through risk assessment mobile phone to be issued and pre-programmed with appropriate emergency numbers - Where identified individual first aid kits should be made available to individuals.					- Individual to ensure that mobile phone is fully charged and numbers are updated as required. - All accidents are to be reported to line manager and to Directorate Safety Officer as per directorate arrangements.			
Equipment failure	Could increase hazard(s) specified above.	- All equipment to be checked and tested prior to use. - Local arrangements in place for reporting of defects - Where applicable equipment serviced or maintained as detailed by manufacturer.					– It is the employees responsibility to ensure that any vehicles used in relation to the Authority's business is well maintained, has sufficient oil and fuel, has correct tyre pressures and that all tyres are in good condition.			
New and Expectant Mothers	Pregnant women are more likely to need urgent medical attention	- Depending on their medical condition, you may need to review and revise women's access to communications with others and levels of (remote) supervision involved, to ensure that help and support is available when required, and that emergency procedures (if needed) take into account the needs of new and expectant mothers.								
Risk Assessor(s)	Signature(s)					Designation				

DEFINITIONS: Hazard – Something with the potential to cause harm Risk – Chance that the harm will be realised

Hazard Prompt List: asbestos, glazing, noise, vibration, electrical, poor ergonomics, repetitive motion, manual handling, heat / cold, fire, flammable materials, slip, trip, fall, fall from height, falling object, collision, glare, adverse weather, sharps, substances (dusts/liquids/gases), stress, lone working, confined space, moving parts, crushing, entrapment, compressed air, lighting, operation of vehicles, unstable stacking/storage, violence (Physical/verbal)

Likelihood (L)

Severity (S)

Multiply (L) by (S) to produce the risk rating (RR)

		LIKELIHOOD		
		1 Unlikely	2 Possible	3 Very Likely
SEVERITY	1 Slight/minor injuries/minor damage	1	2	3
	2 Medium Injuries/Significant damage	2	4	6
	3 Major Injury/Extensive Damage	3	6	9

LIKELIHOOD

- 3 – Very likely
- 2 – Possible
- 1 – Unlikely

SEVERITY

- 3 – Major injury/Extensive damage
- 2 – Medium injury/significant damage
- 1 – Slight/minor damage

1 = Low risk, action should be taken to reduce the risk if reasonably practicable.

2,3,4 = Medium risk, is a significant risk and would require an appropriate level of resource.

6 & 9 = High risk, may require considerable resource to mitigate. Control should focus on elimination of risk, if not possible control should be obtained by following the hierarchy of control.

APPENDIX 2 – LONE WORKING MEDICAL QUESTIONNAIRE



MEDICAL IN CONFIDENCE

LONE WORKER QUESTIONNAIRE

Assessments may initially be carried out by medical questionnaire and this form is intended to ensure that you are fit to undertake lone working.

Please complete the form as accurately as possible, printing where necessary. If you have answered yes to any of the following questions you **must** provide details including dates.

Completed forms should be placed into a sealed envelope marked 'Private & Confidential' and sent to Occupational Health Department, Tredomen House.

SECTION A – PERSONAL DETAILS

Surname: _____ Forename: _____
 Date of Birth: _____ National Insurance Number: _____
 Staff No. _____
 Directorate: _____ Location: _____
 Home Address: _____
 Postcode: _____ Telephone Number: _____

NAME OF GP: _____ ADDRESS: _____

Telephone Number: _____

Job applied for/held: _____

Line Manager: _____

GENERAL OCCUPATIONAL HISTORY

Dates from/to

Previous jobs

- 1.
- 2.
- 3.

.....

Do you have / had **any** medical conditions which may affect you:

YES

NO

If you have answered yes to the question, please complete **Section B** on this form

MEDICAL IN CONFIDENCE

SECTION B

Have you ever suffered from:	YES	NO	Details (including medication)
1. Epilepsy:			
2. Black-outs			
3. Fainting Fits			
4. Diabetes			
5. Heart or circulatory disorders			
6. Stomach or intestinal disorders			
7. Medical conditions affecting sleep			
8. Chronic chest disorders			
9. Other medical disorders			
10. Rupture or hernia			
11. Serious operation/accident or injury			
12. Back or limb disorder			
13. Nervous or mental disorder			

Please provide additional information where you have indicated that you have a medical condition. This should include relevant information where your condition is controlled by medication. This information may be checked with your doctor and is important to assess health and safety implications of working alone.

Do you consider that you have a disability that may affect your ability to work alone?

YES

NO

If yes, please give details.

Employee signature:

Date:

OUTCOME

Fit

Call for further investigation

Recall Date:

Checked by:

Appendix 3 – Generic procedure for carrying out lone working visits

Appendix 3 – Generic procedure for lone visits

The following document is a **generic** procedure for carrying out a lone working visit and can be **used to form all or part** of your local arrangements for lone working visits.

1. Minimising Risk.

Each officer must take the following steps to minimise the risks associated with lone working visits:

- All alternatives must be considered before carrying out a lone working visit. Consider whether a visit is actually necessary. Can the matter be dealt with on the telephone, in the office or could an arrangement be made to meet in a public place?
- Check the history of the person or address to be visited as thoroughly as possible. This may include:
 - a) Looking at the Corporate Violence At Work Register or other appropriate systems
 - b) Asking colleagues,
 - c) Liaising with other parties who may have had an involvement with the person, e.g. Social Services.
- Where a risk is identified, ensure any control measures identified are complied with or conduct an assessment of the risk and identify suitable measures to reduce the identified risk/s.
- Give consideration to the area and timings of the visit. It may be better to avoid certain areas later in the day or when children are not at school.

2. Information provisions.

Prior to carrying out any lone working visit, each officer must:

- Complete a visit list that clearly states the location of their visits, the people they are visiting and approximate times for each visit (see [Appendix 4](#) for an example of a suitable recording sheet). This should be kept in a clearly labelled file, which is easily accessible to those staff remaining at their base Alternatively officers may input this information into their individual electronic diary that may be viewed by work colleagues.
- Update the team notice board or equivalent (where applicable) to indicate when they will be off site.

3. Remaining in Contact.

While out on visits staff must:

- If identified through the risk assessment take a mobile phone, ensuring it is fully charged.
- Ensure that they are familiar with the phone, and that it is pre-programmed with office and emergency numbers.
- Ring in to their office as many times as agreed with their line manager/supervisor if they are out visiting all day.
- Update their base if they are changing the course of their visit.
- Ring in at the end of the day to 'sign-off'. If an officer has not rung in to do this by an agreed time then it is the responsibility of the staff in the office to make contact with them. This may involve ringing them at home to ensure they have arrived safely, if they cannot be contacted by mobile.
- Consider the use of the Caerphilly Careline Lone Working Monitoring System.

4. During Visits.

Officers are instructed to use sensible precautions such as:

- Keeping a clear route to the door or means of egress.
- Being alert to the person's behaviour.
- Keeping the phone available throughout the visit. It may be helpful to state that a call from the office is expected at any time.
- Leaving the property if they feel even slightly uneasy.
- Devising and using a pre-determined safety signal to indicate help is needed when ringing the office such as, 'the information about Mr X is in the red file on my desk'. This will then enable the staff in the office to identify your location from the visit list and request attendance at that address from the police.
- Consider items of clothing that could be used in a violent attack, e.g. ties.

- When inside vehicles, keep doors locked, and windows raised. Ensure, where possible, that your vehicle is parked to enable you to drive away quickly without the need to reverse or perform manoeuvres that would delay your escape.

Appendix 4 - Lone Working Visit List

