

CAERPHILLY COUNTY BOROUGH COUNCIL

LONE WORKING POLICY

Version:	Version 4
Policy Ratified by:	Health and Safety Division
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Area Applicable:	All Council employees, agency staff and volunteers.
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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.

1. INTRODUCTION

- 1.1. This document sets out the policy to be implemented by Caerphilly County Borough Council (the Authority) to ensure the health, safety and welfare of its employees in relation to lone working.
- 1.2. This policy should be read in conjunction with the Corporate Management Arrangements (CMA) for lone working that sets out the arrangements and responsibilities for managing lone working in the Authority.

2. POLICY STATEMENT

- 2.1. The Authority recognises that its employees are its most valuable resource in delivering high quality services to the community and will take all practical steps to ensure the health and safety of the Authority's employees, contractors and visitors to and users of council premises by not exposing them to hazards associated with lone working.
- 2.2. The Authority recognises there are inherent risks associated with lone working and will consider alternative safer systems of work where possible.
- 2.3. Where lone working is necessary, the effective control of these risks will be controlled through the correct management of lone working. To be effective this policy requires the full co-operation of management and employees at all levels.

3. SCOPE

- 3.1. This policy has been agreed with the Trade Unions and applies to all employees.
- 3.2. This policy will be reviewed at least every 3 years to ensure it is in line with current legislation.
- 3.3. The effective date of version 4 of this policy is: February 2020.

4. DEFINITIONS

- 4.1. For the purpose of this policy, lone working can be defined as the following:
 - Only one employee working on the premises. For example in small workshops, small offices etc.
 - Employees working separately from others. For example undertaking work, for a considerable period of time where no other person is in the

immediate vicinity to the 'lone worker' to provide assistance if required, alone within a clients home, parks employee tree cutting on a site.

- Infrequent high risk working activities carried out alone For example, Countryside or Park employees undertaking forestry related work or tasks making them more susceptible to abuse and physical assault e.g. Education Welfare Officers, Social Services and Housing undertaking visits private resident's homes.

Examples of typical lone working include: -

- I. Employees working alone outside normal hours for considerable time. For example, security, individuals providing care working alone within a client's home etc.
- II. Mobile employees working alone, away from their fixed base. e.g. For example, Rent Recovery Officers, Social Workers, Environmental Health Officers, Home Carers etc.
- III. Individuals working alone with vulnerable service users.

This list is not exhaustive.

Please note: this definition is not intended to cover those employees who travel alone between CCBC site or locations for meetings with others, or those left to work alone on an add hoc basis for short periods of time e.g. within a corporate office.

5. LEGISLATION

5.1. This policy along with its supporting procedures is designed to ensure the Authority meets its legal obligation as stated in:

- The Health and Safety at Work etc. Act, 1974.
- The Management of Health and Safety at Work Regulations 1999.

6. RESPONSIBILITIES

Please note: All employees have a legal responsibility to comply with health and safety law and the provisions of this policy. Failure to do so could result in personal and/or corporate liability.

6.1 The Chief Executive Officer will:

6.1.1 Be ultimately **responsible** for ensuring compliance with this policy within Caerphilly County Borough Council.

6.2 Directors will:

6.2.1 Be responsible for ensuring the effective implementation of this corporate policy and associated corporate management arrangements within their service areas.

6.2.2 Ensure that appropriate resources are made available for the effective operation of the policy and associated corporate management arrangements, including training and/or any other control measure identified as necessary following a risk assessment.

6.3 Managers with responsibilities for employees will:

6.3.1 Where possible, plan work to avoid lone working, or where this is not possible, identify all persons who fall into the lone working category.

6.3.2 Ensure that where lone working is unavoidable, tasks undertaken can be performed by one person safely.

6.3.3 Undertake, or ensure that, a suitable and sufficient risk assessment is carried out by a suitably trained and competent individual who is familiar with the work activity, process and equipment used – the ‘Lone Workers – Health and Safety Risk Assessment’ form in [Appendix A](#) of the supporting CMA may be used as a template for all but low risk activities.

6.3.4 If identified through the ‘Lone Workers – Health and Safety Risk Assessment’, that an individual may have a health concern, refer the individual to Occupational Health to enable further investigations to establish the individual’s suitability to work alone.

6.3.5 If classed as a night worker, ensure the employee completes a night worker assessment before they become a night worker and thereafter on a three yearly basis.

6.3.6 If notified by the employee their medical circumstances have changed within three years of their last Occupational Health assessment, Occupational Health must be consulted for further advice.

6.3.7 Co-ordinate the completion of any recommended actions required as a result of the ‘Lone Workers – Health and Safety Risk Assessment’ and ensure the findings of the risk assessment and its recommended actions are communicated to all the relevant employee/s e.g. make employees aware of the Employee Protection Register and the need to undertake checks in accordance with the Employee Protection Register Procedure.

- 6.3.8 Ensure the 'Lone Workers – Health and Safety Risk Assessment' is reviewed periodically, when there is reason to suspect the assessment is no longer valid, or where there have been significant changes in the work activity or environment to which the assessment relates. This is to include the medical aspect of the assessment for each employee.
- 6.3.9 Ensure the documented 'Lone Workers – Health and Safety Risk Assessment' is kept until a new assessment is produced or the assessment revised.
- 6.3.10 Ensure the emergency procedures are in place for when lone workers become non-contactable during periods of lone working or does not return to work/ call in as expected.
- 6.3.11 Ensure this policy is communicated to their employees.
- 6.3.12 Ensure their employees comply with this policy and associated Corporate Management Arrangements for lone working derived from this policy.

6.4 Each employee of the Authority will:

- 6.4.1 Comply with any working procedure or precautionary measure introduced to minimise the risk of lone working.
- 6.4.2 If working outdoors, respond accordingly to the changing local weather conditions at the time.
- 6.4.3 Ensure their manager is notified immediately if there are changes in their personal health, which may affect their ability or suitability to work alone safely, including the use of any medication that may affect their suitability to work alone.
- 6.4.4 Where appropriate carry out or request a search on the Employee Protection Register and/or other appropriate systems before any visits are carried out or meetings conducted.
- 6.4.5 Inform their manager or appropriate officer promptly of any incident involving violence and aggression, and complete the Violent Incident Reporting Form.
- 6.4.6 Inform their manager or appropriate officer promptly if a violent incident results in an injury and complete the 'Accident/Incident Report Form' of any incident.
- 6.4.7 Not attempt to perform a work activity alone that may put their or other persons' health or safety at risk.

6.5 The Health and Safety Division will:

- 6.5.1 Ensure that the lone working policy and corporate management arrangement is reviewed at least bi-annually to ensure it is in line with current legislation and that any necessary local arrangements are developed and reviewed.
- 6.5.2 Provide advice and information on legislation or guidance relating to lone working.

6.6 Occupational Health Department will:

- 6.6.1 Where requested by Managers, screen / undertake health assessment of identified lone workers and night workers who potentially have medical issues which may affect their suitability to lone work.
- 6.6.2 Maintain records of any health assessment of employees relating to above. These records must be kept in accordance with the Occupational Health Department's guidelines on confidentiality and for at least forty years.

7. MANAGEMENT ARRANGEMENTS

7.1 Lone Workers:

- 7.1.1 Lone workers are those who work for considerable periods by themselves without close or direct supervision, or those undertaking high risk activities alone (irrespective of frequency). They are found in a number of jobs in the Authority. Some examples are:
 - Employee's working **alone**, for significant periods of time in the Authority offices with no close supervision e.g. security guards.
 - Employee's 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.
 - Employee's working on their own away from their fixed base, or in premises not occupied and undertaking high risk activities. For example, in the street, on a construction site, undertaking activities using machinery.

7.2 Risk Assessments:

- 7.2.1 Risk assessments must be conducted for all individuals who are classed as a lone worker under the policy and CMA. For lower risk lone workers the

general health and safety risk assessment form may suffice however for higher risk workers a more detailed risk assessment should be undertaken – the template in [Appendix A](#) may be used for recording the significant findings and recommendations. When undertaking the risk assessment the following should be considered:

- The demands of the role, and whether it can be done safely by a lone worker.
- Availability of supervision and 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 nature of any physical, biological and chemical agents they will be exposed to, for how long and to what extent, e.g. cement, solvents from glues, mastics and sealants, size and weight of objects to be manually handled exposure to cleaning chemicals etc.
- What type of work equipment will be used and how this will be handled.
- The need to assess and provide health and safety training.
- The requirement for any personal protective equipment (PPE).
- 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.
- First aid requirements, and determine whether lone workers (notably mobile workers) should carry a first-aid kit.
- The 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 (e.g. 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 (see guidance sheet?). This should include processes to follow in the case of an emergency.
- Any Procedures that are in place so that lone working employees can carry out a search on the Employee Protection Register (EPR) and/or other appropriate system before carrying out any visits to meet individuals alone. Where a positive entry is found, ensure the EPR advice is followed and appropriate action is taken in line with the Authority's Violence at Work Policy and CMA.

7.2.2 Risk assessments must be carried out by a competent person who is familiar with the work processes and equipment used. The significant findings and recommendations arising from the assessment may be recorded by completing the 'Lone Workers – Health and Safety Risk Assessment Form' ([Appendix A](#)). These can be completed for the team (i.e. team

arrangements) however they must be reviewed with each lone worker in order for the medical section to be completed.

7.2.3 Where a positive response is provided to section 5 of [Appendix A](#) or an employee notifies their manager of a medical condition that may make them particularly vulnerable to lone working, then the individual is to be referred to Occupational Health for review. The individual is to refrain from all lone working until a response is received from Occupational Health.

7.2.4 Any lone working health and safety risk assessments carried out must be kept by the line manager until a new assessment is made.

7.2.5 Lone working risk assessments should be reviewed periodically, 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. Where changes are related to the employee's health condition then an additional lone worker health and safety risk assessment should be completed and where necessary the individual should be referred back to Occupational Health.

7.3 Medical Fitness for Lone Working and Night Working:

7.3.1 Following a review by Occupational Health, advice will be given to line management on an individual's suitability to work alone or any additional control measure that may need to be implemented before such work can commence.

7.3.2 Night time is defined as the period between 11pm to 6am and a night worker is defined as someone who regularly works at least 3 hours of daily working time between these hours. Night workers must have a pre-employment health assessment and thereafter on a three yearly basis, Occupational Health advice will be given to line management on an individual's suitability to night working or any additional control measure that may need to be implemented before such work can commence.

7.3.4 If the employee medical circumstances change during the three years, occupational health must be consulted on their suitability to continue night working.

7.4 Emergency Procedures:

7.4.1 Lone workers should be capable of responding correctly to emergencies. Emergency procedures should be established and communicated to employees who will work alone, or have delegated responsibility for contacting lone workers.

7.5 Weather Conditions:

7.5.1 When lone workers are working outdoors, they are expected to take appropriate measures to take into account the changing weather conditions.

- 7.5.2 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, or in line with the Authority's Inclement Weather Policy (i.e. contact their line manager).

8. SUPPORTING DOCUMENTS

8.1 Guidance:

- Working Alone in Safety – HSE Guidance INDG 73, available online from www.hse.gov.uk/toolbox/workers/lone.htm
- Caerphilly County Borough Council's Policy and CMA on Violence at Work. [**Appendix A – Lone Worker Health and Safety Assessment form.**](#)
- Caerphilly County Borough Council's Policy and CMA on Violence at Work. [**Appendix B – Night Worker Health and Safety Assessment form.**](#)
- Caerphilly County Borough Council's Employee Protection Register Procedure.

APPENDIX A - Lone Workers - Health and Safety Risk Assessment

Lone Workers - Health and Safety Risk Assessment

Where an employee is a lone worker this assessment should be completed by the Line Manager, in conjunction with the employee.

Lone Workers are those working on their own for considerable amount of time or undertaking infrequent lone working for high risk tasks. **Please note:** Employees are not classed as lone working when travelling from one authority site to another.

Completed forms act as the lone working risk assessment for the lone worker and for those with medical conditions the form must be forwarded to the Occupational Health for review.

1. About the Employee: -	
Name:	
Payroll Number:	
Job Title:	
Service Area:	
Work Location:	

2. Brief outline of lone working activities and associated risk: -		
Frequency of Lone Working	Daily	Hrs
	Weekly	Hrs
	Infrequent high risk	

3. Existing Risk Control Measures: - <i>Provide details of measures that are in place to reduce the risk of lone working. Please note for high risk lone working activities a more detailed risk assessment may be required.</i>		
Possible control measures:	Yes	No
Conflict Management Training/ Personal Safety Training		
Man Down Systems		
Mobile Phone		
Access to Violence at Work system		
Personal Attack Alarm		
Tracker systems		
System for staff location to be monitored i.e. call in system		
<i>Other (please provide details e.g. reference local arrangement documents)</i>		

4.0 Additional Control Measures:	
Following Assessment of Risk, detail any additional control measure that need to be implemented:	

5.0 Medical Section:		
Please complete question below, providing a yes or no answer only. Further details may be requested by Occupational Health.		
Do you have any impairment / disability (physical or mental) that may affect your ability to lone work safely? i.e. Do you suffer from a heart condition , epilepsy, blackouts, diabetes, sleep disorders, chest disorders or musculoskeletal disorders?	Yes*	No

****If the response is 'Yes, a copy of the form must be sent to Occupational Health for assessment and individual must refrain from lone working until feedback is received .***

6.0 Declaration: -	
Date of Assessment:	
Managers Signature:	
Employee Signature:	
Date:	

The following section is to be completed by Occupational Health:

7.0 Occupation Health Feedback	
O. H. Assessment Completed By:-	
Name:	
Job Title:	
Date of Assessment:	
Results (please tick)	
Employee is not fit to work alone:	
Employee is fit to lone work without further control measures:	
Employee is fit to work with additional control measure:	
Additional control measures required:	

APPENDIX B - Health Assessment Questionnaire - Night Workers

Health Assessment Questionnaire - Night Workers**Background**

Under the Working Time Regulations 1998 (amended 2003) you have a right, as a night worker, to have regular health assessments. This questionnaire will be used to assess if you have any conditions which may affect your ability to do night work. Medical details provided are **confidential**, but your manager will be advised on whether you are fit / unfit to undertake night work.

First Name _____ **Middle name(s)** _____ **Surname** _____

Sex **Male** **Female**

Date of Birth: _____ **Address:** _____

Job Title: _____

Department: _____

Employee No: _____

Please complete the form and return to Occupational Health you will then be called in for a face to face medical assessment (if required). Please complete the questions as accurately as you can.

Please provide the following cost codes:

Customer: _____ **Cost** _____ **Subjective** _____

Section 1

How long have you worked night shifts? _____

	YES	NO
Are you on permanent nights?		
Have you had any medical problem in the past which has prevented you from working at night?		
Do you suffer from diabetes?		
If yes do you require insulin injections?		
Do you suffer from heart or circulatory disorders?		
If yes does this affect your physical stamina and your ability to do physical work?		
Do you suffer from any stomach or Intestinal disorders such as peptic ulcer or duodenal ulcers?		
Do you have any condition where the timing of a meal is particularly important?		
Any condition which causes trouble sleeping?		
	YES	NO
Do you suffer from any chronic chest problem (especially one where night time symptoms are troublesome)?		
Any medical condition that requires medication to be taken to a strict timetable? E.g. epilepsy or thyroid disease?		
Have you had depression, "stress", nervous disorders or other mental health illness, alcohol or drug addiction?		
Are you aware of any other health factors that may affect your fitness to do night work or do you feel night shifts affect your health in any way? PLEASE DESCRIBE IN SECTION 2 BELOW		

Section 2

Please give any further details which you would like to bring to our attention, including details of any prescription medication you currently take:

I certify that the answers to the above questions are correct to the best of my knowledge and belief. I understand that if I have withheld information, this may adversely affect efforts to place me in suitable employment

Signature: _____ Date: _____

For Occupational Health Use Only

After reviewing the questionnaire, my assessment is that this individual:

- can work nights

- cannot work nights

- Consideration given to stress levels

- requires further assessment

Signature: _____ Date: _____

Print Name: _____ Job Title: _____