

NOTICE OF MEETING

Meeting: HR COMMITTEE

Date and Time: THURSDAY, 5 SEPTEMBER 2024, AT 10.00 AM

Place: COUNCIL CHAMBER - APPLETREE COURT, BEAULIEU ROAD, LYNDHURST, SO43 7PA

Enquiries to: Email: andy.rogers@nfdc.gov.uk
Tel: 023 8028 5070

PUBLIC INFORMATION:

This agenda can be viewed online (<https://democracy.newforest.gov.uk>). It can also be made available on audio tape, in Braille and large print.

Members of the public are welcome to attend this meeting. The seating capacity of our Council Chamber public gallery is limited under fire regulations to 22.

Members of the public can watch this meeting live, or the subsequent recording, on the [Council's website](#). Live-streaming and recording of meetings is not a statutory requirement and whilst every endeavour will be made to broadcast our meetings, this cannot be guaranteed. Recordings remain available to view for a minimum of 12 months.

PUBLIC PARTICIPATION:

Members of the public may speak in accordance with the Council's [public participation scheme](#):

- (a) on items within the HR Committee's terms of reference which are not on the public agenda; and/or
- (b) on individual items on the public agenda, when the Chairman calls that item. Speeches may not exceed three minutes.

Anyone wishing to attend the meeting, or speak in accordance with the Council's public participation scheme, should contact the name and number shown above no later than 12.00 noon on Monday, 2 September 2024.

Kate Ryan
Chief Executive

Appletree Court, Lyndhurst, Hampshire. SO43 7PA
www.newforest.gov.uk

AGENDA

Apologies

1. MINUTES

To confirm the minutes of the meeting held on 13 June 2024 as a correct record.

2. DECLARATIONS OF INTEREST

To note any declarations of interest made by members in connection with an agenda item. The nature of the interest must also be specified.

Members are asked to discuss any possible interests with Democratic Services prior to the meeting.

3. PUBLIC PARTICIPATION

To receive any public participation in accordance with the Council's public participation scheme.

4. HR UPDATE (Pages 5 - 10)

To receive an overview of the work undertaken within the HR Service in addition to re-active casework.

5. REVIEW OF TRAVEL (Pages 11 - 34)

To note proposed changes to the Council staff Essential Car User Scheme and the Travel Policy.

6. HEALTH AND WELLBEING ATTENDANCE MANAGEMENT 2023 - 2024 (Pages 35 - 48)

To receive a summary of the Council's sickness absence rate in the previous 12 months and actions taken to manage attendance.

7. CORPORATE HEALTH AND SAFETY REPORT (Q1 2024 - 2025) (Pages 49 - 172)

To note work undertaken by the Corporate Health and Safety team in Q1 2024 – 2025, including various policy reviews, feedback from service safety panels and working groups, together with accident and incident statistics.

8. DATES OF FUTURE MEETINGS

To agree the following dates for meetings in 2025/26 (Thursdays at 10am):

2025

19 June

11 September

2026

8 January

12 March

9. ANY OTHER ITEMS WHICH THE CHAIRMAN DECIDES ARE URGENT

To:

Councillors

Jill Cleary (Chairman)
Steve Davies (Vice-Chairman)
Mark Clark
Kate Crisell
Sean Cullen

Councillors

Jeremy Heron
Colm McCarthy
Joe Reilly
Conservative Vacancy

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HR COMMITTEE – 5 SEPTEMBER 2024

HR Update Report

Purpose	For information
Classification	Public
Executive Summary	The report provides an overview of the work undertaken within the HR Service over and above the re-active casework.
Recommendation(s)	That members note the ongoing work within the HR Service
Reasons for recommendation(s)	Much of the work supports the council ambition to be an Employer of Choice and the corporate LEAF values
Ward(s)	All
Portfolio Holder(s)	Councillor Jeremy Heron
Strategic Director(s)	Alan Bethune – Strategic Director Corporate Service
Officer Contact	Heleana Aylett Service Manager - Human Resources 02380 285662 Heleana.aylett@nfdc.gov.uk

Introduction

1. This report gives an update on HR matters since the last HR Committee. These matters are in addition to the reactive caseload which includes job evaluations, restructuring advice, grievances, disciplinarys and sickness absence matters.
2. We also continue to provide Payroll and HR Advisory services to the National Park Authority. From 1st April this has been expanded to include Health and Safety advice.

Staff Engagement Survey

3. This year's staff engagement survey has now been launched and will remain open until 9th September.

4. We are working with South East Employers this year. They will capture the results and from that they will feedback to us anonymous results and also their recommendations as to what we should include when we are considering the development of our People Strategy.
5. The last employee survey had a response rate of just over 41%. We are hoping that we can significantly increase the return rate this time.

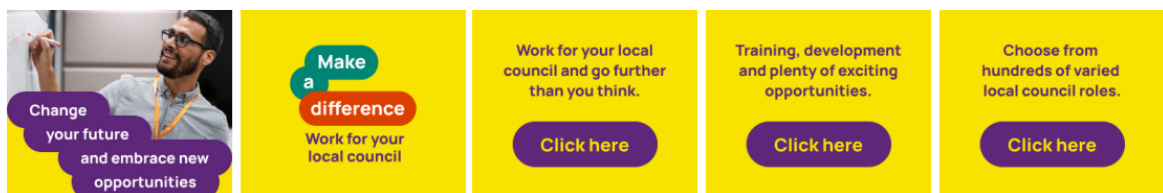
Recruitment Update

6. We updated you earlier in the year, that we had made significant changes to our recruitment application form. Since then, we've listened to feedback from colleagues, and made some further changes our recruitment process:
 - We've now launched a further application form for Operational roles – we've removed the requirement for a mandatory CV and replaced it with a simple box to detail skills/knowledge/experience relevant to the role. We've actioned this as feedback from Operational Services at our Ignite session, and hope this helps relevant candidates apply.
 - We've updated our new application form to include 'most recent job and salary' – so that this can be considered by recruiting managers
 - We've added to our standard mandatory filtering questions and the way we word these – we introduced these to ensure only those with relevant essential skills for the role are able to submit applications, and over the first few months we've learnt some valuable lessons of how we could develop these
 - We've developed a video, created by colleagues explaining why they feel NFDC is an employer of choice. This is now linked (alongside our Candidate Pack) on all vacancies.
7. Additionally, to build positively on new recruits onboarding:
 - We've also added a check-in with new recruits mid-way between their contract issue and start date, to keep them onboard and engaged with their new employment with us, asking if they have any questions prior to starting we can help with.
 - We've been noticing some regular queries cropping up soon after employees join. These are covered in our induction, but of course there's a lot to take in at that time. A month after joining, we also send them a new starter reminder email with hints, tips and reminders, and offer our assistance should it be required.

8. Coming soon

The LGA has successfully piloted a generic recruitment campaign across some authorities in the north east, and after taking stock and developing the campaign further working with local authorities (including us), the campaign will be live across the UK between November '24 and January '25. The campaign will have common messages and, working with other councils across our region, we'll aim to blend this with our current recruitment tools. As we get to November, you may well see some of the generic campaign images and hear radio adverts. We all know that attracting the right people to work in local government is vital if we are to deliver the best service to the people who live and work in our communities, so the aim is to overcome barriers and preconceptions about working in local government and encourage an awareness and interest in the range of career.

A taster of the type of themes is given below.



Learning Management System

9. Our Learning Management System is well embedded across our office-based teams, and all mandatory eLearning is due for completion by the end of September. We continue to work with our colleagues across operational and housing maintenance teams to build the system to meet their needs.
10. Some service areas have been considering how technical training can be delivered, and we are working with these teams to build bespoke suitable modules, for example on Asbestos and Climate Change. ICT are working to build all mandatory ICT training in the LMS.
11. We are also now looking at optional eLearning modules that we can load into our system as supplementary development for our colleagues and hope to publish these in the new year.

Learning & Development Update

12. We now have 14 employees undertaking apprenticeships, an all time high! This includes new employees recruited as apprentices, trainee roles, and as training for existing established employees. This means we are utilising much more of the

apprenticeship levy we pay each month. We do still have some surplus levy which would go back to the government.

13. Instead of this, we have pledged £50,000 to be available for SME's in the district (who do not pay the levy and do not have budget to fund apprenticeship training). We are working with the Solent Business & Skills Solutions 'Apprenticeships & Skills Hub' team to facilitate this, and have just linked with Bluebird Care, to give them £32,000 to fund 8 apprenticeships in their frontline care and administration teams – these new staff will work across Bluebird franchises in Lymington, Totton and Ringwood – directly benefiting our district.
14. After very successful interview processes, our two new graduate placement recruits will start on 16th September, one corporate working on three projects across services and one based in the Place Development teams. Both Hannah and Ros are as keen as the teams they will be working in to get up and running. We've worked to ensure real engagement with them over the summer, and have developed detailed, tailored induction programmes ready for when they start, taking them through the length of their studies.
15. We are linking with a Hampshire County Council new 'Supported Internship Programme' for young people with additional needs, for those close to the jobs market but just need a bit more time to build up their confidence and employability skills.
16. We will be taking two students this autumn in our Grounds Maintenance Teams on unpaid placements, building up from one day a week over the next 12 months. Our Grounds team have continuous apprentices on a rolling programme and are very keen to support this new Programme.
17. When the Kickstart programme was in place during covid, we took on Lewis in the Grounds team, and he now has a permanent role with us. Lewis is a highly valued member of the team, which often has recruitment challenges, so we are hopeful this is another two-way win for all parties longer term if possible.

Management Development Programme

18. Following on from the success of the Leadership Development programme we are now organising our Management Development Programme.
19. This is aimed primarily at those staff on Band 8 and 9 that report directly to a member of the Leadership Team and have staffing responsibility.

20. Three cohorts have been organised with 20 employees on each. Two cohorts start in September, and one will start in April.
21. The programme will consist of five days of taught training with Avie Consultancy and will be supported by in a range of in house training in areas such as Recruitment, Performance Management and Absence Management.

LGBT+ Employee Network

22. During June, the LGBT+ Network was launched. The aims of the network are to connect colleagues, support peers, share knowledge and experience and contribute to improving services.
23. The HR team attended all operational toolbox talks during June to introduce the network in consultation with the Councils culture. This has included all operational teams across Housing Maintenance, Waste and Recycling, Streetscene and Open Spaces. Drop ins have happened at Appletree Court, Marsh Lane Depot and Claymeadow depot with the support of existing network members as well as promotion through our intranet and physical posters.
24. Since then the group have arranged further meetings and drop ins to continue their work and support the workforce.

Corporate plan priorities

25. Much of the work undertaken by the HR Service supports the council's ambition to be an employer of choice

Options appraisal

26. Not Applicable

Consultation undertaken

27. Not Applicable

Financial and resource implications

28. None.

Legal implications

29. None.

Risk assessment

30. There are no risks associated with the recommendation.

Environmental / Climate and nature implications

31. None.

Equalities implications

32. None arising from the recommendations.

Crime and disorder implications

33. None.

Data protection / Information governance / ICT implications

34. None.

Appendices

None

Background Papers:

None

HR Committee – 5 September 2024

Review of Travel

Purpose	For information
Classification	Public
Executive Summary	<p>There has been no formal review of our car allowances for a long time.</p> <p>Hybrid working has meant that there have been changes in working practises and it is timely to review all our payments and introduce an annual review.</p>
Recommendation(s)	<p>That HR Ctte note the current situation regarding mileage claimed across the Council. Attached at Appendix 1.</p> <p>That HR Ctte note the proposed changes to the Essential Car User Scheme with effect from April 2025.</p> <p>That HR Cttee note the updated Travel Policy attached at Appendix 3 with effect from April 2025.</p>
Reasons for recommendation(s)	<p>To ensure that the eligibility for Essential car user allowance is applied fairly and consistently across the council.</p> <p>Our staff commute mileage has reduced significantly. Employees will be encouraged to minimise business journeys and reduce overall mileage to support and recognise the council's ambition to transition to net zero.</p> <p>The increase in the mileage rate for those with electric cars may encourage staff to consider an electric vehicle as an option when considering changing their vehicle.</p>
Ward(s)	All
Portfolio Holder(s)	Councillor Jeremy Heron

Strategic Director(s)	Alan Bethune
Officer Contact	Heleana Aylett Service Manager Human Resources 02380 285562 Heleana.aylett@nfdc.gov.uk

Introduction

1. EMT requested that a report be brought forward to consider all mileage rate options, recognising the council's ambition to transition to net zero, and to be an Employer of Choice.
2. There are two current mileage rates in place for non-electric cars; 65p per mile for casual users and 45p per mile for Essential Users.
3. The current mileage rate for fully electric cars for both casual and essential users is 10p per mile.
4. Essential Users are also eligible for an allowance which is currently £1,239 per annum. The allowance is not reduced pro-rata for part-time employees.
5. The current criteria for staff to be eligible to claim Essential User Allowance is:

Employees who are Visiting Officers or in posts that manage across more than one site and meet the minimum mileage criteria of 2,500 per annum are entitled to receive the Essential User Allowance. Essential user authorisation is given by the relevant Service Manager.

Background

6. *There are two sets of mileage rates that need to be considered, the rate set by HMRC and the rates within the NJC agreement. These are not the same.*
7. *For workers who use their own car for work journeys, the appropriate rate for compensation should consider maintenance, depreciation, contributions to insurance, road tax and servicing, as well as fuel costs.*
8. *It is recognised that claim data may be light as a result of the Council's policy of deducting home-to-base miles from mileage claims. If an employee conducts a business journey that is less than their commute, then this journey is not likely to be recorded, as it doesn't result in a travel claim payment.*

9. A survey conducted late last year by South East Employers (attached at **Appendix 2**) shows that the Council's commuter mileage deduction is in line with the policy position adopted by most other local councils (included in that survey).

HMRC Rates

10. The government's implied estimate of these costs is carried in the HM Revenue & Customs (HMRC) approved [Mileage Allowance Payment](#) (MAP) rate, which has remained unchanged since 2011-12 and is set out below.

	First 10,000 business miles in the tax year	Each mile over 10,000 miles in the tax year
Cars and vans	45p	25p
Motorcycles	24p	24p
Bicycles	20p	20p
Passenger on work journey	5p	

Hybrid cars are treated as either petrol or diesel cars for this purpose. The Advisory Electricity Rate for fully electric cars is 8 pence per mile.

Local Government Rates

11. The rates under local government NJC terms and conditions (covering England, Wales & Northern Ireland) have been set at the advisory levels as below since 2010 (in Scotland, rates are decided by each local authority).

The NJC scheme makes a distinction between "Essential Users" who must have a car at their disposal whenever required, and "Casual Users" for whom it is desirable to have a car at their disposal when needed.

Essential Users receive an annual lump sum in addition to the specified rate per mile.

Local Government NJC (England, Wales & Northern Ireland)			
Essential User Allowance			
Engine capacity	451 - 999cc	1000 - 1199cc	1200 - 1450cc
Lump sum	£846 p.a.	£963 p.a.	£1,239 p.a.
per mile first 8,500	36.9p p.m.	40.9p p.m.	50.5p p.m.
per mile after 8,500	13.7p p.m.	14.4p p.m.	16.4p p.m.
Casual User Allowance			
Engine capacity	451 - 999cc	1000 - 1199cc	1200 - 1450cc
per mile first 8,500	46.9p p.m.	52.2p p.m.	65.0p p.m.
per mile after 8,500	13.7p p.m.	14.4p p.m.	16.4p p.m.

Note: in September 2022 an agreement was reached with the joint unions in Wales so this no longer applies to them.

The NJC local government scheme makes no recommendations for the appropriate payment rate for electric / hybrid vehicles. Different local authorities have therefore aligned them with different petrol engine rates.

NFDC Position

12. NFDC has local terms and conditions and do not fully follow the NJC conditions of service. We currently do not distinguish the rate paid for either Essential or Casual Users based on the engine size of the vehicle. Current mileage rates paid by NFDC flit somewhat between the HMRC rates and NJC rates, and are as follows:

	Mileage Rate per mile first 10,000	Mileage Rate per mile after 10,000	Lump Sum (per annum)
Essential User	45p	25p	£1,239
Casual User	65p	25p	-
Electric Vehicles	10p	10p	-
Each Passenger	5p	-	-
Bicycles	20p	-	-
Motorcycles	24p	24p	-

13. The Council's current Essential User scheme is only open to those on band 8 and below. The Council used to have a leased car scheme for employees band 9 and above.

Essential User Data: January 2023 – December 2023

14. There were 161 employees receiving the Essential User Car Allowance. Between them they claimed a total of 252,337 miles.

Further data is provided in **Appendix 1**.

Casual User Data: January 2023 – December 2023

15. There were 112 employees that made a claim under the casual user scheme. Between them they claimed a total of 46,611 miles.

- 78 claimed less than 500 miles
- 19 claimed between 500 and 1,000
- 11 claimed between 1,000 and 1,500
- 4 claimed over 1,500 miles.

Of those that claimed casual mileage 28 were above band 8. If the criteria changed to allow those above Band 8 to be essential users then some of these employees would qualify for the allowance.

Electric Vehicle Mileage

16. There were 4 employees that made a claim using the electric mileage rate. Between them they claimed a total of 1,499 miles.

Parking Clocks

17. The subject of parking clocks provided for staff to use whilst on official business has been brought up at both Employee Forum and under the Staff Suggestion Scheme.

There would appear to be different arrangements in place across the council with some staff simply paying for parking and reclaiming through expenses and other staff sharing a parking clock between them.

The staff suggestion was that staff could be allowed to purchase a reduced rate parking clock as part of our employee benefits offer.

Council Vehicles Home To Base Mileage

18. Employees that are allocated a council vehicle and use this for their home to base commute and currently charged 13p per mile for every mile over 10 each way of their commute.

This is normally calculated at the time of appointment and is stated within their contract of employment.

Proposed Changes

19. It is clear that the current Essential User scheme is not being implemented consistently.

It is therefore proposed that the following changes are made to the existing scheme:

- We should move away from the arbitrary application of a minimum mileage requirement (on the basis that this is an issue due to the deduction of commute miles), and seek to evaluate the role independently.
- For posts that require a vehicle to be available at all times or are regarded as visiting officers and require the ability to access all areas of the district on a regular basis these would be classed as Essential Users.
- For posts where a car is required at times, but this is normally due to attendance at a pre-planned meeting or event these will be classed as Casual Users.
- That HR will work with Service Managers to review each post currently in receipt of the Essential User allowance to ensure consistency of approach.
- Consideration can also be given to posts not currently in receipt of the Essential User Allowance to review if they should be included.
- The current restriction to Band 8 and below should be removed and replaced with it applying to all posts up to and including Band 10.
- Consideration will need to be given to Maternity, sickness or other long term issues.

The council will continue to use the HMRC rates for Essential Users. (As detailed in point 10 above).

For fully electric cars the council will adopt the same rate for Casual Users. Therefore, our rate would increase from 10p per mile to 65p per mile. This will support the council's ambition within the new Corporate Plan relation to reducing carbon emissions.

For fully electric cars the council will adopt the same rate for Essential Users. Therefore, our rate would increase from 10p per mile to 45p per mile. This would support the council's ambition within the new Corporate Plan in relation to reducing carbon emissions.

In order to minimise the impact to staff of removing their Essential user Allowance it is proposed that a minimum of 3 months' notice is

given. Further, the withdrawal of the essential user payment would not be implemented ahead of the implementation of pay award for 2024/25 being agreed, and paid. This may mean that the notice period is extended beyond 3 months, if, for example, pay award is not settled until after November.

Services will review the arrangements in place for the sharing of parking clocks. Where this is felt appropriate and can be done fairly this should continue. Otherwise staff should be advised to pay for parking, obtain a receipt and reclaim this through their expenses in the normal way.

A review of home to base distances will be undertaken for all those with Council vehicles which are used for their commute.

Corporate plan priorities

20. Our staff commute mileage has reduced significantly. Where possible managers should encourage employees to minimise business journeys and reduce overall mileage to support and recognise the council's ambition to transition to net zero.

Options appraisal

21. There has been no formal review of the Essential User scheme and those eligible for the payment for some time. There is no annual review of essential users against the set policy and minimum criteria.

The essential user lump sum is often seen as an added benefit to top up the salary when recruiting staff and managers do not always take the opportunity to review whether the payment should still be made.

The current restriction on our scheme prohibits those above band 8 from being eligible for the Essential Car User Allowance. This does not help when trying to promote internal employees into higher graded roles.

There is a clear discrepancy on how the essential allowance is applied. This is a concern in relation to equal pay decisions. We need to be able to justify each decision made in relation to pay and therefore an annual review would ensure that these decisions are well documented.

The policy should be kept under review and reviewed in two years' time in order to assess impact and make further changes in light of people strategy, new ways of working, climate and nature implications.

Consultation undertaken

Leadership Team Comments

22. A discussion has been held at the Leadership team to consider issues arising that relate to travel. Team members were asked to provide their feedback on the current scheme and how/what changes could be considered.

EMT comments

23. EMT are happy to approve the changes within the report with an effective date of 1st April 2025.

This timeframe will allow for due consideration to be given in the review of all those currently in receipt of Essential Car User Allowance.

EMT have requested that an overview is undertaken by HR to ensure there is consistency in how this is applied.

EMT approve and support the new travel policy.

EMT requested that further work is undertaken to establish the amount of parking ticket reclaims that are made to establish the extent of the problem.

Employee Side Comments

24. Unison are pleased to support the clarity for Essential and Casual user status.

Unison are pleased to support the increase in mileage allowances as set out in the report.

Financial and resource implications

25. A review of those eligible for the Essential User allowance will result in savings that would contribute towards the additional resources identified within the HR Peer Review as being needed.

The increased rates for fully electric vehicles would be offset by the savings made through the essential user reduction.

Legal implications

26. None.

Risk assessment

27. Not required.

Environmental / Climate and nature implications

28. Our change to Hybrid working with many staff working from home for some of their working week does mean that our staff commute mileage has reduced significantly. Where possible managers should encourage employees to minimise business journeys and reduce overall mileage to support and recognise the council's ambition to transition to net zero.

The increase in the mileage rate for those with electric cars may encourage staff to consider an electric vehicle as an option when considering changing their vehicle.

Equalities implications

29. The current system is unfair to the broader workforce as there is inconsistency in treatment of post holders when it comes to the application of the essential user allowance.

The proposed changes, including the introduction of an annual review would ensure that all employees are treated fairly, with a consistent approach across the Council.

By delaying the earliest withdrawal of the essential user payment until after the implementation of the 2024/25 pay award, no employee will see a deduction in pay, as the current pay award offer is in excess of the essential user payment.

Crime and disorder implications

30. None.

Data protection / Information governance / ICT implications

31. None.

Appendices

Appendix 1 – Essential User Data
Appendix 2 – Mini Travel Survey
Appendix 3 - Travel Policy

Background Papers:

None

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APPENDIX 1

Essential User Data

Currently there are 161 employees receiving the Essential Car User Allowance.

24 of these claimed no mileage during the whole year. These are in the following areas:

ICT	1
Environmental Health	Licensing – 1, Food Safety – 1, Environmental Protection - 1
Housing Options, Rents support and Private Sector Housing	Homelessness – 2, Allocations – 2, Tenant Engagement – 1
Building Control	1
Procurement	1
Human Resources	Advisory – 1, Health and Safety – 1 (Leaver)
Housing Maintenance	Compliance – 1, Repairs – 1, Fire and building safety – 1.
Rent Accounting and Home ownership	1
Grounds and Streetscene	Corporate trees – 1, Grounds – 1
Customer Services	1
Community Safety and Support	1
Civic Buildings and Facilities	1
Policy and Strategy	1
Development Management	1

Of the 137 remaining employees:

- 67 claimed less than 1,000 miles

Further details are shown here:

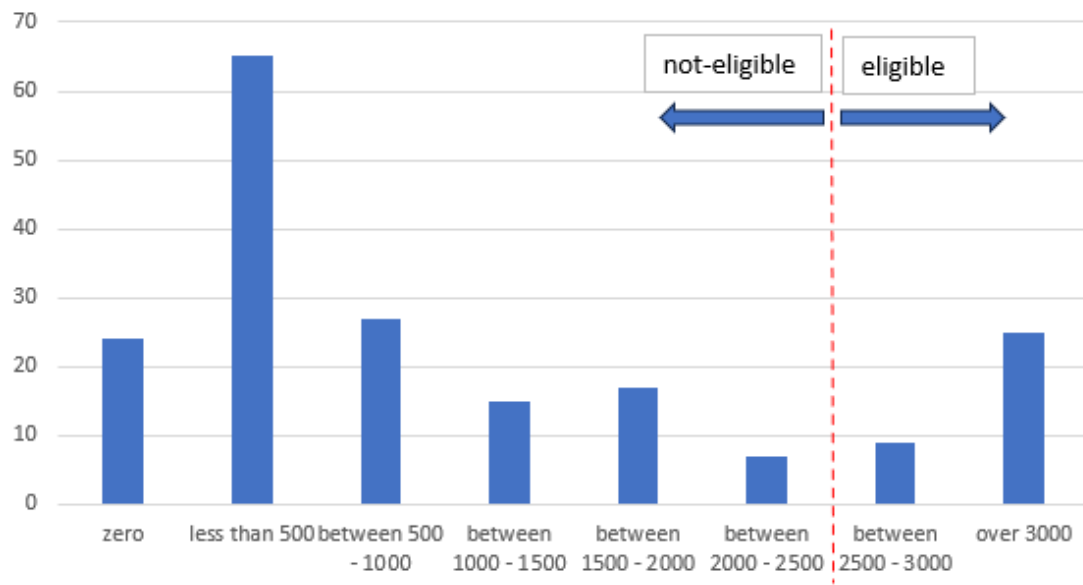
Housing Options, rent etc	
Allocations	1
Homelessness	9
Housing Income	3
Private Sector Housing	4
Tenant Engagement	1
Community Safety and Support	
CCTV	1
Community Safety	1

Housing Estates	7
Coastal	3
Housing Maintenance	
Compliance & Asset M'ment	4
Corporate Asbestos	1
Electrical	1
Gas	1
Maint. Delivery Planning	1
Repairs Supervisor	1
Corporate Fraud and Compliance	1
Human Resources	
Health and Safety	3
Development Management	
East	6
Enforcement	4
Elections and Business Improvement	1
Policy and Strategy	
Environmental Design	1
Estates	1
Food Safety	2
Information Offices	2
Grounds and Streetscene	1
Procurement	1
Waste Operations	1
Environmental Protection	4

- 14 claimed between 1,000 and 1,500
- 17 claimed between 1,500 and 2,000
- 6 claimed between 2,000 and 2,500
- 8 between 2,500 and 3,000
- 25 claimed more than 3,000 miles

Based on our current criteria only 33 employees would qualify for the allowance.

Mileage claimed by essential users



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APPENDIX 2

Respondent	Who initiates the mileage/expenses claim?	Who approves the mileage/expenses claim?	Is there a maximum claim limit, with additional approval?	What is the limit?	Do you issue fuel cards to employees?	Which group(s) of employees have fuel cards?	What, if any, is the max spend on fuel cards?	How is spending on fuel cards monitored?	Do you have employees who work from home but are not contractually home based?	Are there different arrangements for what mileage/ travel expenses claimable home v office working days?	Which journeys does this affect?	Please confirm what mileage/travel expenses employees can claim for when working from home	Is any additional authorisation/ scrutiny applied to claims from homeworkers?	Is all travel time on home working days counted as working time?	Please give details of when travel time does not count as working time	If you have experienced any conflicts/difficulties regards home working and business travel, please give details
Borough Council 1	Employee	Line Manager	No		No				Yes	Yes	Other	An employee can only claim mileage from their contractual place of work to another work location and NOT mileage from home as this is regarded as the "normal commute" under inland revenue rules	No	No	Travel from home to the place of work is not working time - that is the normal commute	It was unclear at first during the pandemic whether home to work mileage was claimable but we gave guidance to clarify the matter at that time
Borough Council 2	Employee	Line Manager	No		No				Yes	Yes	Other	Only able to claim the difference between their normal home to work mileage and their home to first work location of the day	No	No	First journey of the day	N/A
New Forest District Council	Employee	Line Manager	No		Yes	Drivers who need them if they are unable to use the Council fuel supply	NA	There are monthly reports available	Yes	No		Employees are still required to deduct their home to base mileage on days working from home	No	Yes		None
Borough Council 3	Employee	Line Manager	No		No				Yes	No		office to place minus normal home to office mileage	No	No	have put no but am unsure how the departments manage this	no
Brighton & Hove City Council	Employee	Line Manager	No		No				Yes	No		It is our policy not to have homeworking contracts and therefore everyone still has a council premises as their location. Therefore travel/expenses work in the same way they usually would.	No	No	The commute to and from your usual place of work would not count as working time (even if on a home working day).	Resistance from some to travel into the office (our preference is at least one day a week) due to time it takes to commute and cost (as they had got used to not doing this during lockdown). Also some people have moved further away from their office location during the last few years whilst they have been predominantly home working.
Borough Council 4	Employee	Line Manager	No		No				Yes	No		when they leave their home to go to an office other than their normal place of work	No	No	normal place of work is still the office and therefore home to office is not claimable.	We have had several people claiming when they are not entitle to do. Re policies in question 15 we would but a lot of ours are out of date and need reviewing so maybe after that we would make them available to share.+
25 Portsmouth City Council	Employee	Line Manager	Yes	60 miles. If a journey is more, this must be authorised in advance by the relevant Head of Service. If a claim is submitted without Head of Service approval, the claim will not be paid.	No				Yes	Yes	All journeys	When calculating your business mileage claim, you must deduct your normal return home to work commuting mileage from the claim if you didn't go into your normal workplace on the day.	No	Yes		N/A
Borough Council 5	Employee	Line Manager	No		No				Yes	No		Mileage to and from site visits but the maximum that can be claimed for a site visit is what the mileage would have been to and from the office.	No	Yes		NA

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Travel Policy

Human Resources

August 2024

Version 1.0

Employee Policy 3.2

Version	Author	Date	Changes made

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1. POLICY (NFDC Conditions of Service)

- 1.1 Employees required to use a vehicle for the efficient performance of their duties will be eligible to receive certain allowances for the use of their cars or Council vehicles on business dependant on their post and band. All allowances must be in accordance with this policy and authorised by the Service Manager.
- 1.2 The Council has different levels of allowances for employees who use their vehicle on Council business.
 - Essential User Allowance & Mileage Rate
 - Casual User Mileage Rate
 - Using Council Vehicles for Home to Work Journeys
- 1.3 The council also operates an Assisted Car Purchase Scheme.


2. Individuals Affected

- 2.1 All Employees of NFDC who use their private vehicles on Council business or who use a Council Vehicle for home to work mileage.

3. Delegated Authority

- 3.1 Only the Service Manager can designate an essential car user or designate a new or vacant post as requiring an essential car user.

4. General Rules

- 4.1 All Employees of NFDC who use their private vehicles on Council business or who use a Council Vehicle are required to complete the Driving Safely E-Learning module and read the Occupational Road Risk Policy.  [Corporate ORR Grey Fleet Policy 2023 .pdf](#)
- 4.1 All employees who use their cars on the Council's business **must have and produce a valid driving licence.**
- 4.2 All employees who use their cars on the Council's business, including to attend training courses or conferences, must **have and produce a current insurance certificate if requested.** The insurance certificate must include a 'business usage' clause indemnifying the Council against all third-party claims (including those concerning passengers) that arise whilst using the vehicle on Council business.
- 4.3 All employees who use their cars on the Council's business **must have and produce a current MOT certificate if requested** for their vehicle prior to using it on Council business.
- 4.4 An employee using their car on Council business without the valid insurance and MOT certificates cannot claim for mileage and will be in breach of Council regulations and may be subject to disciplinary procedures.
- 4.5 All drivers should conduct regular safety checks and maintenance on their vehicles.
- 4.6 Employees should have regular eyesight tests and wear any glasses prescribed for driving purposes at all times when driving on NFDC business.
- 4.7 Employees will notify the DVLA and their managers of any physical or mental disability or condition which currently affects or impairs their ability to drive.

- 4.8 No allowances or mileage claims will be paid without proof of these documents.
- 4.9 The correct procedures must be used for claiming all car and mileage allowances.
- 4.10 None of the Council's Car Allowances count towards pensionable pay.

5 Essential User Allowance

- 5.1 Employees who are required to have a vehicle available at all times or are regarded as visiting officers and require the ability to access all areas of the district on a regular basis are entitled to receive the Essential User Allowance. Essential user authorisation is given by the relevant Service Manager. This is paid monthly. Eligible posts include those up to and including Band 10.
- 5.2 The Essential User Allowance rate remains fixed and any changes to the rate will be communicated in the normal way.
- 5.3 Employees in receipt of the Essential User Allowance will claim business mileage at the agreed HMRC rate. Any changes to this rate will be communicated in the normal way. Mileage rates are available on Forestnet and attached in the appendices below.
- 5.4 Employees in receipt of the Essential User Allowance must have a car available at all times for use on Council business. Failure to do so may result in a non payment of this allowance.
- 5.5 Employees will continue to receive the Essential User Allowance for as long as they remain eligible in accordance with these criteria. Should the employee move to a different post for whatever reason which does not meet this criteria they will no longer be eligible for this allowance.

6 Casual User Allowance

- 6.1 Casual Users are those employees who are required at times to use their own vehicles, this is normally due to attendance at pre planned meetings or events. They are not required to have a car available at all times.
- 6.2 Employees in this category will claim any business mileage at the casual user allowance rate. Any changes to this rate will be communicated in the normal way. Mileage rates are available on Forestnet, and attached in the appendices below.

7 Using a Council Vehicle For Home To Work Journeys

- 7.1 Employees who use a Council Vehicle to travel to and from home to their normal place of work are required to make a contribution of 13p per mile for fuel. This amount is payable after the first 10 miles of your home to base mileage each way.
- 7.2 This contribution will be capped at £500 per annum.
- 7.3 The HR Admin team will calculate the mileage based on the shortest possible route. This information will be clearly detailed in the contract of employment.
- 7.4 Employees must notify their manager and payroll if their personal details change which may result in a different contribution calculation.
- 7.5 Regular review of payments will be undertaken by Payroll to ensure the correct contribution is still in place.

8 Procedure For Claiming Allowances & Mileage

- 8.1 Where a monthly allowance is paid, these are processed automatically by Payroll provided proof of valid insurance (including business usage) and MOT certificates have been produced by the employee.
- 8.2 All mileage claims must be completed on-line using the travel claim system via the HR Hub.
- 8.3 All mileage claims must be checked and approved by the employee's line manager before payment is made.
- 8.4 Mileage must be claimed within three months of the journey. Claims after this period may not be paid.
- 8.5 Claims for periods ending 31 March each year must be made by the 30th April each year.
- 8.6 If an official journey commences from the employee's home, the distance between home and the normal work base must be deducted from the journey and not claimed for. This is a requirement of the Inland Revenue.

Appendices

Schedule of current allowances – August 2024

	Mileage Rate per mile first 10000	Mileage Rate Per mile after 10,000	Lump Sum (per annum) All cc
Essential User Including Electric Vehicles	45p	25p	£1239.00
Casual User Including Electric Vehicles	65p	25p	-
Each Passenger	5p	-	-
Bicycles 20p	20p	-	-
Motorcycles (All cc)	24p	24p	-

Essential User Scheme (Band 10 and below)

The Essential User allowance only applies to jobs that are visiting officers or jobs that manage across more than one site (average of 2500 miles per annum) and agreed by the Service Manager. Existing employees who choose or request to change their contract of employment will be subject to this policy.

Council Vehicles for Work that are taken home

For those employees who are issued with a council vehicle, the council will pay the first 10 miles to and from work. Employees who work more than 10 miles away from their work base will make a contribution of 13p per mile towards the fuel they use, and this will be capped at £500 per annum. Existing employees who choose or request to change their contract of employment will be subject to this policy.

Business travel and hotel bookings

All requests for rail, air, coach and hotel bookings should be done through your Purchase Co-ordinator.

In respect of hotel bookings, to ensure 'value for money', all bookings will be made using the council's 'preferred' hotels, these are Travel Lodge, Premier Inn, Ibis, Novotel, Holiday Inn.

Employees will only be able to stay at the actual hotel that is being used for the training event or conference if this is included in the cost of the event or if there is no hotel from the preferred list within walking distance of the venue.

If an employee stays with a friend or family member, the Council will pay £25.

Meals

The cost of meals will only be reimbursed where these are taken outside of the District Council boundary, and where supported by receipts. Reasonable expenses approved by the relevant Business Unit Manager will be reimbursed.

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HR COMMITTEE – 5 SEPTEMBER 2024

Health and Wellbeing Attendance Management 2023 - 2024

Purpose	For Review
Classification	Public
Executive Summary	<p>This report provides a summary of the Councils sickness absence rate in the previous 12 months and actions taken to manage attendance.</p> <p>Working time lost to sickness absence in 2023 – 2024 was 3.53%, down from 3.92% the previous year.</p> <p>Stress/depression was the most common reason for sickness absence (25.25%), an increase from 15% in 22/23. There was an increase from 13 in 23/23 to 21 long term absences in 23/24 because of this reason; 9 colleagues sited some work issues contributed to their ill health.</p> <p>Sickness absence is proactively managed. Wellbeing support remains a priority, the report details corporate preventative support.</p>
Recommendation(s)	HR Committee note the content of the report and support the proposed attendance management action plan detailed in section 8.
Reasons for recommendation(s)	<p>The proposed attendance management action plan aims to proactively manage attendance and support our colleagues health and wellbeing.</p> <p>Supporting colleague health and wellbeing is vital to ensure teams deliver our Corporate Plan priorities of people, place and prosperity.</p> <p>Future New Forest sets out our ambitions to be an employer of choice by promoting employee wellbeing and prioritising work life balance by adoption flexible and family friendly working practices. This will be measured by average sickness absence days per employee.</p>
Ward(s)	All
Portfolio Holder(s)	Cllr Jeremy Heron

Strategic Director(s)	Alan Bethune
Officer Contact	<p>Sophie Taylor Senior HR Advisor 02380 285670 Sophie.taylor@nfdc.gov.uk</p> <p>Heleana Aylett Service Manager HR 02380 285662 Heleana.aylett@nfdc.gov.uk</p>

Introduction

1. This report provides attendance management data from 1st April 2023 – 31st March 2024, including trend data where it is applicable. Trend data from financial year 2019 onwards has been included where possible to enable a three year comparison outside of the pandemic years.
2. Working time lost because of sickness is 3.53% in the last 12 months. The total number of sickness days has reduced by 6.18% in comparison to the previous 12 month period.
3. Information within this report also includes the Councils approach to managing sickness absence in the last 12 months and an action plan for its continued management.

Background

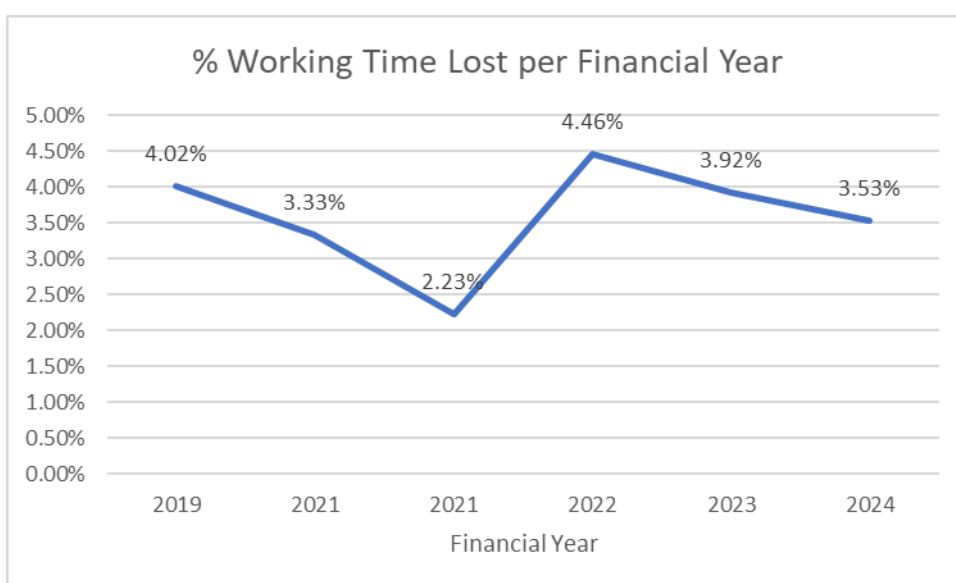
4. The annual sickness absence reports for financial years 2020 – 2021 and 2021 – 2022 detailed covid absences separately to sickness absence. From 1st July 2022 the Council adopted treating covid absences in the same way as any other sickness for sickness tigger and pay purposes. On this basis covid absences are not detailed separately in this data and are indicated as 'Covid-19' as a reason for sickness absence.
5. As of 31st March 2024 the Councils workforce headcount is 804, this equates to 719 full time equivalents (FTE's). The Councils workforce size has increased by 3% during the previous financial year.
6. Approximately 45% of the workforce are in operational manual roles (Waste and Transport, Grounds and Streetscene, Housing Maintenance). Proportionally the operational workforce account for 59% of the Councils sickness absence in the last financial year, this is down from 73% in the previous year.

7. The Council promotes hybrid working for its office based staff through the WorkSmart policy, with primarily a 50:50 office and remote split depending on the nature of roles. This is available to approximately 55% of employees. The Council promotes good judgement to the management of reducing the spread of common infections amongst teams. The ability to remote work also supports some employees to remain working, for example those recovering from an operation who temporarily are unable to drive or are managing reduced mobility.

Sickness Absence Data

8. Average sickness absence rate per FTE and percentage of working time lost:

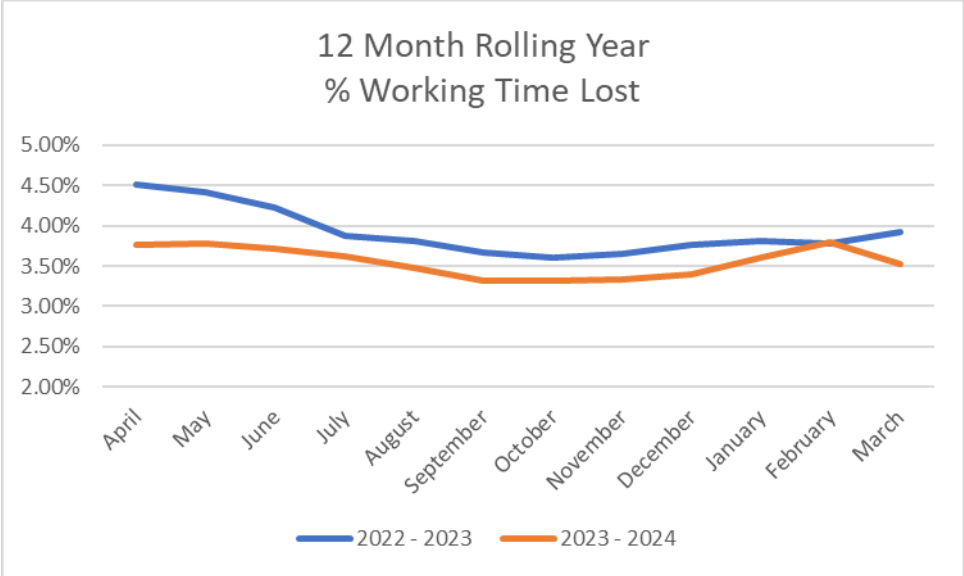
	April 21 – March 22	April 22 – March 23	April 23 – March 24
Total number of sickness absence days	7,865	7,054	6618
Average number of sickness days per FTE	11.63	10.22	9.21
Percentage of working time lost	4.46%	3.92%	3.53%



Figures are significantly lower in the 20/21 financial year because whilst the Council responded to the Covid pandemic many employees were absent with permission self-isolating following Government guidance at that time. This totalled 7783 working days. For at least

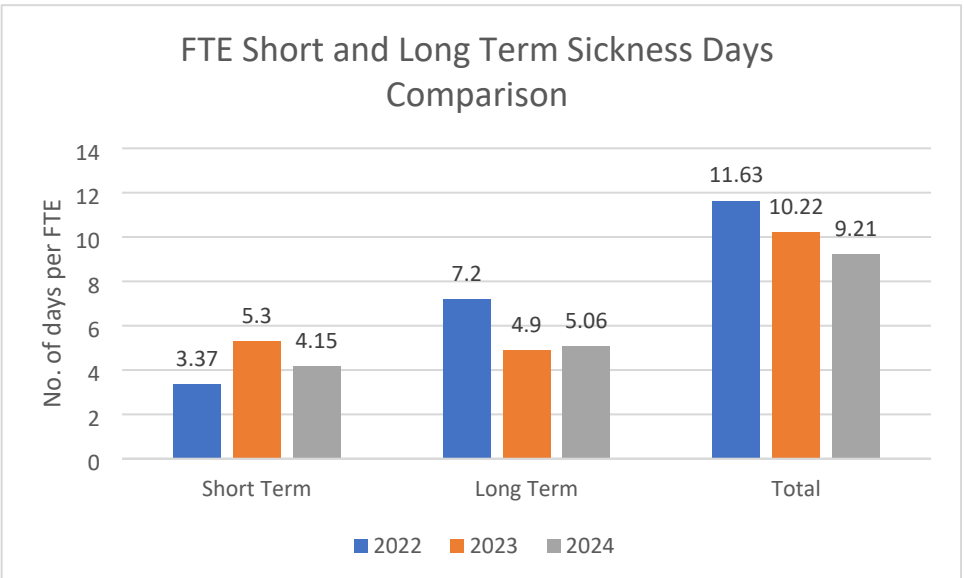
seven months of that year most of the Councils 400 Leisure Centre employees (TUPE'd on 30 June 2021) were absent on furlough.

The table below shows trend data for total working time lost over the last two financial years:



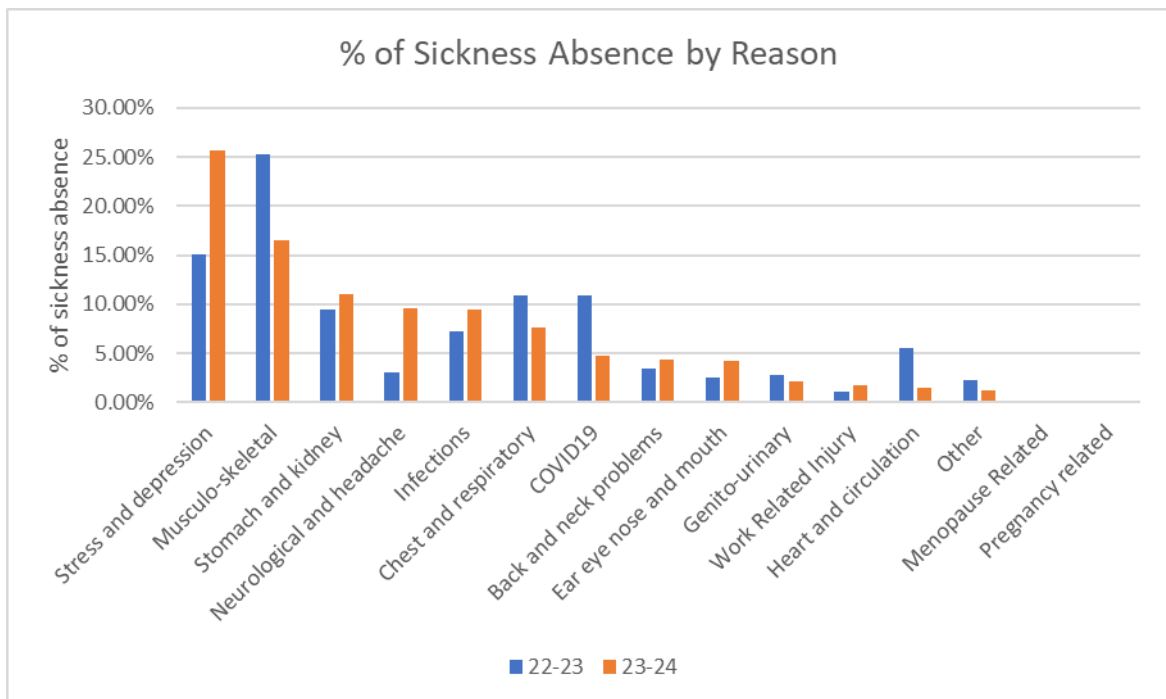
The percentage of working time lost because of sickness in the last 12 months has decreased from 3.92% to 3.53%. The total number of sickness absence days has reduced by 6.18%. The total estimated productivity cost of sickness absence is circa £733,618. This is based on the median average salary and does not take account of full/half/no pay or agency cover costs.

- 9. The tables below show trend data for short, long term and total sickness absence per FTE. Long term sickness absence is defined as any absence lasting longer than 20 working days, in comparison to short term which are absences less than 20 working days.



This indicates primarily a return to pre pandemic sickness levels in the past two years, and a reduction of 1.01 sickness days per FTE in the past 12 months.

10. **Appendix 1** details the total sickness days per FTE and their percentage of working time lost by Service Area. This indicates that primarily the three operational service area’s continue to manage the highest proportion of short term absence. There have been various long term absences across a mix of service areas that impact on those affected.
11. The graph below shows stress and depression was the top reason for sickness absence during 23 – 24. This has significantly increased from 15% in the previous year.



Within the 'Other' category there were 10 work related absences. Work related absence over 7 days are reported to EMT through the H & S quarterly reports and are listed as RIDDOR incidents.

Absences related to Musculo skeletal issues have reduced in the previous year. We continue to have a large operational workforce (approximately 45% of the workforce), who account for 59% of the Councils total sickness absences for this financial year. This is a reduction from 73% in the previous year. Management work closely with the Health and Safety team to prevent absences wherever possible by supporting safe ways of working.

Stress/Depression has increased and in the most recent financial year is the highest proportion of our sickness absence; 25.25% of absences were due to this reason. This is a significant increase from 15% in the previous year. During 23/24 there were 21 long term absences

because of this reason, 9 of those cited some work issues contributing to their ill health. This is an increase from 13 long term absences related to stress/depression in 22/23. Managers and the HR team support all colleagues on a case-by-case basis, understanding all the contributing reasons for their stress/depression and exploring all supportive options available to enable a return to work. This includes:

- The use of the HSE Stress Questionnaire to understand workplace causes of stress and working with the employee on how we can mitigate these. For example improving communication lines between colleagues and managers, understanding if the level of workload is too high and addressing this wherever possible, or reviewing how tasks are assigned. This approach is often successful in supporting the employee to return in a supportive way.
- The use of wellbeing action plans to understand employee wellbeing on a more individual basis, understand triggers and keep an open communication between employees and managers on their fluctuating mental health. This can address issues earlier before they escalate
- Phased returns to work with the advice of Occupational Health. These may include a slow reintroduction to the workplace on reduced hours or temporary removal of duties whilst the colleague readjusts to returning to work. Both approaches may be used together to support a phased reintroduction. Other support we have put in place are structure work plans to enable colleagues returning to focus.
- Encouraging colleagues to engage with our wellbeing benefits which include, an Employee Assistance Programme giving instant access to emotional support through counselling, financial education and support (also available through My Money Matters), and healthy lifestyle choices for example support with stopping smoking. The EAP also has an online digital platform giving access to wellbeing courses related to various topics, such as resilience, mindfulness and managing anxiety. We also encourage colleagues to engage with Wellbeing Champions for support.

Supporting employee wellbeing remains a top priority, the Councils continued approach is detailed in section 6.

Benchmarking data

12. The CIPD 2024 Health and Wellbeing Report will be published in late September 2024. At that time the HR team will review it to benchmark against other similar organisations and understand general trends. The [CIPD Health and Wellbeing Report 2023](#) report did find an increase across all sectors in absences related to mental

health and wellbeing. The 2023 CIPD report showed public sector employers were on average managing an attendance rate of 10.3 days per FTE. Mental ill health was the most common cause of long term absence, followed by Musculo skeletal injuries. This survey highlighted 56% of organisations do have a standalone wellbeing strategy.

13. Infinistats is a benchmarking tool across the South East Region facilitated by South East Employers. It allows us to benchmark against a series of statistics including pay for certain roles, corporate statistics relating to the diversity of our people and sickness information. It is voluntary and therefore not all Councils submit their data. The data for 2023-2024 will be published in late 2024. For the previous financial year across the South East region there was an average of 8.91 sickness days per FTE. When the regional statistics are released later in the year these will be compared to benchmark our performance.

Attendance Management

14. Attendance Management resolutions for the last two financial years. This shows a 28% increase in cases supported by the HR team in the last 12 months.

Resolution Category	2022 – 2023 Number of cases	2023 – 2024 Number of Cases
Informal advice given	13	13
Long Term Absence Return to Work at Step 1	14	17
Long Term Absence Return to Work at Step 2	11	8
Short Term Sickness Closed at Step 2*	10	38
Step 3 Case Review not resulting in Dismissal	1	1
Dismissal	2	1
Ill Health Retirement	1	2
Resignation during process	7	4
Total	59	84

*This figure will be significantly higher across the workforce because HR are not required to attend these meetings unless the case needs

15. Occupational health support and will progress to Step 2 Review. For employees managing long term health conditions in the workplace adjustments are made wherever possible. Occupational Health or Access to Work advice supports the Council to make appropriate adjustments for employee's based on their needs. In

most cases temporary adjustments are needed to support an employee either during an illness whilst they remain at work or upon their return once recovered/recovering. This may include a phased return to work supporting reduced hours and/or duties for a period of time.

16. In the 23-24 financial year 54 Occupational Health referrals were made, an increase from 42 in the previous financial year.
17. 12 employees are supported by permanent reasonable adjustments to their role/working environment.

Attendance Management Ongoing Actions

18. Ongoing actions:
 - The HR Advisory Team have continued to provide monthly sickness statistics. This includes monthly tracking of percentage of working time lost per service area and the number of short and long term absences. This is now in its third year and therefore we are beginning to be able to identify trends. Online sickness absence reports and trend data remain available through HR Hub Management Information.
 - A robust sickness absence procedure is in place, this includes a return to work meeting with management after every absence and short and long term triggers to initiate absence management meetings.
 - The HR Advisory Team advise and support managers through the Absence Management procedure, this includes attendance at sickness meetings from Step 2 onwards. The aim of their advice is proactive, supporting successful resolutions to absences, whilst sensitively treating cases based on their circumstances.
 - The HR Advisory Team have been receiving short term sickness alerts for the last 12 months. They aim to proactively follow these up with managers to discuss cases and agree if the formal process should be started based on the circumstances. This will continue. In the previous year there has been a reduction in short term sickness absence by 1.15 days per FTE.
 - Internal Absence Management training sessions continue to be run for supervisors and managers. This supports the introduction of new line managers and those needing a refresher to be trained in proactive absence management within the parameters of the formal process.

- The management of reasonable adjustments was formalised in January 2023. This included improved guidance to agree reasonable adjustments, documenting and ongoing review of tailored support, based on employee circumstances. The Council continues to work with Occupational Health to support employee adjustments.
 - A menopause policy was adopted in September 2022 which included the introduction of a menopause brief bite training session for managers and employees.
 - All Service Managers were contacted during summer 2024 to understand how many colleagues they had in their service providing what they deemed a critical service. As a result of their suggested numbers we would provide a free flu vaccination in the form of a voucher that can be reimbursed at a pharmacy for these colleagues. This resulted in the purchase of 93 flu vouchers, accounting for those who may be eligible for a central government funded voucher.
19. Wellbeing support for all employees remains a priority. The below lists various preventative support promoted by the HR Team:
- Using HSE Stress Questionnaire to understand causes of employee stress, and subsequently implementing supportive actions to support the colleague based on their responses, for example improved communication and understanding how tasks are assigned.
 - Ongoing promotion of wellbeing benefits which includes the Employee Assistance Programme offering 24/7 support for all of life's events, including emotional/personal, legal, financial, addiction and career. This also provides support for healthy lifestyle choices, include stopping smoking. Colleagues also have access to My Money Matters for financial wellbeing and subsidised local gym membership.
 - A suite of Wellbeing Champions are available and the benefits of using the support promoted to the workforce. Regular group meetings are held to improve skills and a consistent approach.
 - Encouraging flexible working practices wherever possible for colleagues managing difficult circumstances to support wellbeing. We also support colleagues through all life events with policies and flexibility to encourage reasonable time away from work to respond, this includes working parents, bereavement, menopause, chronic health conditions, caring responsibilities, pregnancy loss, fertility treatment, alcohol and drug use, terminal illness and domestic abuse.

- Encouraging an open culture where colleagues can raise concerns with their manager and team early to resolve issues. The HR Team support managers to create team environments like this in their ongoing conversations as well as a the introduction of a mandatory managing wellbeing at work e-learning module for all colleagues.
- Championing managers to support employees with Wellbeing Action Plans. These help manages to develop an awareness of working style, stress triggers and responses. The aim is to support employee wellbeing at work.
- Ongoing review of up to date and ongoing mental health resources on our internal intranet pages
- Colleagues who use a DSE for their work have access to 2 yearly free eye tests and subsidised glasses and some roles have access to free flu vaccinations.

Attendance Management Action Plan

20. Proposed future actions:

- The HR Advisory Team will consult with Service Area's on the format of the sickness statistics provided to ensure it continues to meet service area needs.
- The HR Advisory team continue to receive short and long term sickness alerts, following these up with managers and agreeing the right proactive and supportive approach based on individual circumstances
- The HR Advisory Team will review the success of providing flu jabs to the workforce and propose recommendations to EMT in the coming 12 months.
- The absence management procedure will be reviewed to ensure it remains proactive and robust, whilst supporting colleague wellbeing. This will be in consultation with colleagues and unions.
- The sickness reasons will be reviewed in line with the latest CIPD guidance. The aim of this is to further clarify and understand reasons for absence and ensure managers understand the most relevant to record absences as.
- The [CIPD Health and Wellbeing Report](#) identifies 56% of organisations have a standalone wellbeing policy, and the most common wellbeing benefit is an Employee Assistance Programme. We will understand other local Councils wellbeing support and strategy and use this information to understand our future support over the next 12 months.

- We will aim to improve the evaluation of our wellbeing support by understanding the use of our EAP and wellbeing champions, data from the leavers questionnaire and other colleague engagement, use of our supportive leave through life events and evaluate the success of the newly introduced wellbeing elearning module in conjunction with statistical sickness data and trends. This will help recommend more targeted support for our colleagues and embed a culture that encourages and supports employee wellbeing.

Corporate plan priorities

21. Supporting colleague health and wellbeing is vital to ensure teams deliver our Corporate Plan priorities of people, place and prosperity.

Future New Forest sets out our ambitions to be an employer of choice by promoting employee wellbeing and prioritising work life balance by adoption of flexible and family friendly working practices. This will be measured by average sickness absence days per employee. Therefore this report measures our attendance management and sets out proposals to support employee health and wellbeing.

Options appraisal

22. Not Applicable.

Consultation undertaken

23. EMT requested that the sickness categories be reviewed and clarified in future reports.

EMT also asked that the future stress and depression figures be further broken down to indicate whether they related to personal or work stress, or a combination. It was also suggested that future reports examine initiatives used in other authorities which were working well, and include benchmarking on sickness.

EMT noted that NFDC sickness was at 9.21 sickness days per FTE, compared with 10.3 days in the public sector, for the South East region. Further information was sought for future reports on the number of flu jabs offered to employees, and whether they reduced sickness levels for those individuals.

EMT agreed the content of the report and action plan for submission to the HR Committee, subject to the suggested amendments for future reports as set out above.

Financial and resource implications

24. Indicative attendance management costs are shown in 3.1

Legal implications

25. None

Risk assessment

26. None.

Environmental / Climate and nature implications

27. None.

Equalities implications

28. The sickness absence management procedure applies to all employees. This interpreted fairly and consistently across the workforce whilst accounting for individual circumstances, for example where an employee is managing a long term health condition.

Sicknesses absences are managed with sensitivity and based on employee health needs, whilst ensuring a fair, corporate approach.

Crime and disorder implications

29. None.

Data protection / Information governance / ICT implications

30. None.

Appendices

Appendix 1 – Service Area Sickness Statistics

Background Papers:

[CIPD Health and Wellbeing Report](#)

APPENDIX 1

Service Area	Short Term Days per FTE	Long Term Days Per FTE	Total Days per FTE	% Working Time Lost
Human Resources	3.07	0.00	3.07	1.18%
ICT	2.02	7.93	9.96	3.82%
Elections and Transformation	3.56	9.72	13.28	5.09%
AD Transformation	2.62	5.84	8.46	3.24%
Accountancy and Procurement	0.99	0.00	0.99	0.38%
Estates and Valuation	4.19	6.06	10.24	3.93%
Revenues and Benefits	3.17	3.11	6.27	2.41%
Corporate Resources, Section 151 and Transformation	2.81	3.97	6.79	2.60%
Housing Strategy and Development	1.34	0.00	1.34	0.51%
Housing Options, Rents, Support and Private Sector Housing	3.52	2.63	6.15	2.36%
Estates Management and Support	4.47	7.29	11.76	4.51%
Housing Maintenance	5.02	9.62	14.64	5.62%
AD Housing	4.38	6.95	11.33	4.35%
Legal and Information Governance	1.37	0.00	1.37	0.52%
Democratic Services	1.95	0.00	1.95	0.75%
Environmental and Regulation	2.18	10.41	12.59	4.83%
Governance, Housing and Communities	3.95	6.75	10.70	4.10%
Building Control	1.63	3.16	4.79	1.84%
Development Management	1.81	0.00	1.81	0.69%
Policy and Strategy inc Economic Development	3.09	6.75	9.83	3.77%
AD Place Development	2.15	2.51	4.66	1.79%
Coastal	3.66	0.00	3.66	1.40%
Enforcement	3.10	2.19	5.29	2.03%
Grounds & Streetscene	5.49	8.19	13.67	5.24%
Waste and Transport	6.48	3.42	9.91	3.80%
AD Place Operations	5.66	4.56	10.22	3.92%
Place, Operations and Sustainability	4.97	4.16	9.13	3.50%
EMT	0.50	0.00	0.50	0.19%
Communications	4.71	8.38	13.09	5.02%
Council Total	4.15	5.06	9.21	3.53%

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HR COMMITTEE – 5 SEPTEMBER 2024

Corporate Health and Safety Report (Q1 2024 - 2025)

Purpose	For Review
Classification	Public
Executive Summary	<p>This report highlights the significant work undertaken by the Corporate Health and Safety team in Q1 2024 – 2025 and includes a number of scheduled policy reviews (lone working, the control of contractors and the control of asbestos containing material) The report also includes the key feedback from service safety panels and working groups, which are the Councils primary function for health and safety cooperation and consultation. The quarterly accident/incident report provides accident/incident statistics for quarter 1 2024 - 2025.</p>
Recommendation(s)	<ul style="list-style-type: none"> • To review and approve the draft Corporate Asbestos Policy • To review and approve the draft Corporate Control of Contractors Policy • To review and approve the draft Lone Working Policy • Asked to note the impact on employees in relation to the recommended updates on the Corporate Drug & Alcohol Policy • Asked to note the items raised at the Service Safety Panels and Working Groups • Asked to note the findings identified within the Q1 2024 – 2025 accident/incident report.
Reasons for recommendation(s)	Supports the legal requirements of the council as outlined within the Health and Safety at Work

	etc. Act 1974, Management of Health and Safety Regulations 1999, The Control of Asbestos Regulations 2012, The Construction (Design and Management) Regulations 2015.
Ward(s)	All
Portfolio Holder(s)	Councillor Jeremy Heron – Finance and Corporate
Strategic Director(s)	Alan Bethune – Strategic Director Corporate Resources & Transformation – Section 151 Officer
Officer Contact	James Loring Corporate Health and Safety Manager 02380 285 332 James.loring@NFDC.gov.uk

Introduction and background

1. This report highlights the significant work undertaken within the Corporate Health and Safety team and throughout the Council from 1st April 2024 – 30th June 2024 (Q1).

Significant Health and Safety Work

2. **Corporate Asbestos Policy** - The 2022 policy has been reviewed and communicated to identified responsible persons and appointed persons (as identified within the policy). The policy has also been to all safety panels for comment. Updates to the policy include updating into the new corporate format, updates to the responsibility structure chart, clarity in roles and responsibilities and updates to training requirements. A draft policy is included under **Appendix 1**.
3. **Corporate Control of Contractors Policy** - The 2021 policy has been reviewed and communicated to all safety panels. The corporate policy document has been shortened to contain the specific policy arrangements, additional safe working guidance documents have also been produced by the Corporate Health and Safety team to assist responsible managers in fulfilling their duties as identified under the relevant legislation and policy. The policy and safe working guidance documents (see **Appendix 2**) also includes further detail around the role and use of the contractor incident notification protocol (CINP) and work authorisation forms. The Safe Working Guidance documents will be communicated at a later date for comment. Additional training requirements for all staff who arrange works with contractors to undertake IOSH Managing

Safely training every 2 years and all staff who take on the duties of the Principal Designer under CDM 2015, must undertake a specific principal designer course, for example ([CDM for Principal Designers - CITB](#)). Once this policy has been agreed by EMT, ESLP and HR Committee, those who have been identified as requiring to complete a control of contractors standard operating procedure (SOP) will need to review their current SOPs.

4. Corporate Lone Working Policy - The Appello Lone Working System has now been implemented, the health and safety team and CCTV team are continuing to provide training to teams as they join onto the system. The health and safety team have been working with IT to undertake a security risk assessment to enable the use of the Appello lone working system on personal mobile devices.
5. As part of the implementation of the Appello Lone Working system the Corporate Lone Working Policy has been reviewed. See **Appendix 3**. This policy has been communicated to the lone working project group and safety panels.
6. It has been agreed that it is appropriate for a Data Protection Impact Assessment (DPIA) to be completed for all lone working practices throughout the Council to consider how these comply with the legislative requirements, any personal data risks and steps that have already been/should be put in place to mitigate those risks.
7. **High Risk Lone Worker Test** - The Health and Safety team currently is undertaking a test of 2 different panic alarm lone working systems, Orbis Protect and StaySafe. The testing of both systems is being undertaken between 08/07/2024 – 02/08/2024. Lone workers from across the Council have been used as part of this test. Feedback from all testers will be submitted to the lone working project group, a decision on next steps will then be made.
8. It has been identified that for there to be effective lone working practices, and to make the best use of the lone working systems, there is an element of employee 'monitoring'.
9. Advice has been sought from Amanda Wilson (Information Governance & Complaints Manager) on the data protection implications of the policy and systems. It is recognised that there is a legitimate need to monitor workers to protect health and safety, however such monitoring should be carried out in a way that is lawful and fair to employees considering data protection requirements contained in the Data Protection Act 2018 and the UK General Data Protection Regulation. The Information Commissioner's Office has also produced guidance '[Data protection and monitoring workers](#)'.

10. **Corporate Health and Safety Policy Review** - No further action has been taken. The Corporate Health and Safety Manager has been waiting to receive the findings from an audit undertaken by Southern Internal Audit Partnership in March 2024. A final version of the report has not been sent to the service at this time.

11. **Noise Exposure Reports** - A noise report has been completed by Antony Whittle (Corporate Health and Safety Officer), please see **Appendix 4**. The following actions and recommendations have been identified:
 - Carry out further monitoring for both kerbside and bulk glass collection.
 - Implement a system to ensure that all employees, particularly those moving from another role or taking additional responsibilities that mean they will be exposed to high noise levels, are identified and appropriate health surveillance arrangements are implemented.
 - Consider the appropriate amount of health surveillance received by employees carrying out glass collection activities.

12. **Elections** - The Corporate Health and Safety team have been assisting the elections team assessing polling stations prior to the general election. The health and safety team have now built a file structure within SharePoint, this links to a master spreadsheet which includes all key hazards and risks at each of our polling stations, each folder also includes photos, site plans and inspection checklists. Antony Whittle (Corporate Health and Safety Officer) has also produced new inspection forms for both polling station inspectors and Presiding Officers, once a form has been completed the data will be accessible to the elections team and H&S team. The H&S team have also reviewed the generic risk assessment for working within a polling station. Ideally, all polling stations would have their own site-specific risk assessment, however due to the timing of this election, this has not been possible.

13. Additional actions have been identified, the health and safety team will continue to work with the elections team to work through the identified risks.

14. **Drug & Alcohol Policy Review** - The corporate health and safety team have been asked to review the current Corporate Drug and Alcohol Policy. The current policy sets out a with cause policy. This means that employees will be asked to undertake a drug or alcohol test if there is a legitimate cause for concern. It has been recommended that the Council also includes random drug and alcohol testing as part of their policy. Once reviewed, a draft policy will be shared with H&S reps and unions for comment.

15. **First Aid at ATC** - Following another recruitment drive from the H&S team, additional volunteers have come forward. Once trained, adequate cover will be provided at ATC during the working week. Relevant line managers must contact a member of the H&S team if first aid provision is required out of hours.
16. Training has been scheduled for 24th – 26th July, 20th – 22nd August, 23rd – 25th October and 3rd – 5th December.

Health and Safety Service Safety Panels

17. Operational Safety Panel - The Operational Safety Panel was undertaken on Tuesday 9th of July 2024. Action tables and panel action logs are updated within the new TEAMS channels.
18. **Risk Assessment reviews** – work to be undertaken by all services, Antony Whittle has based himself at CMD every Friday to work with the open spaces teams.
19. **Accident/Incident Training** – following a previous request from the working group, the H&S team will be provided additional accident/incident reporting and investigation training to all supervisors within the directorate. The H&S team have provided this training previously to a number of supervisors within the Council. The training materials need to be updated into the new corporate template; dates will then be booked in with relevant supervisors (after the school holidays).
20. **Car Park Enforcement Lone Working Concerns** - Scott D Smith (H&S Rep for Car parking enforcement) raised concerns with their current lone working solution Orbis Protect, Scott reported that employees within the Car Parking Enforcement team have reported not getting responses from Orbis when they activate their panic alarm button, this is usually in areas of poor signal. No incident reports have been submitted to the H&S team. The Health and Safety Team have agreed to visit MLD and discuss on-going concerns and solutions with the team.
21. **Vehicle Incident Stats** – vehicle incident stats were reported at the operational panel however these were not communicated prior. Below I have outlined the key stats:

Team	April – June 2024
Waste	15
Housing Maintenance	3
Engineering Works	0
Streetscene	0
Grounds Maintenance	2
Transport	0
Parking Enforcement	0
Other	0

22. **Housing Safety Panel** - The Housing Safety Panel was undertaken on Wednesday 10th of July 2024. Action tables and panel action logs are updated within the new TEAMS channels.
23. **LMS Training** – operational employees have reported issues with accessing and completing the mandatory e-learning training. This issue has now been identified as a mobile phone compliance issue; teams will continue to work with IT to resolve this issue. It has also been identified that employees have been assigned some courses which they do not require, for example employees who do not drive on Council business have been asked to complete driving on council business e-learning training. Jane Follett (Training Coordinator) will continue to work with HR.
24. **Health and Safety Reps** – the previous health and safety rep for Housing Maintenance has now left the organisation. Therefore, Housing Maintenance needs to elect a new health and safety rep within their service area. It was also agreed that an additional rep should be elected for the Homelessness & Housing Options service, due to the increased reporting of verbal abuse and aggressive behaviour incidents.
25. **Office Safety Panel** - The Office Safety Panel was undertaken on 18/07/2024.
26. Generic office-based risk assessments for ATC and the interview rooms at ATC has been signed off and added to the H&S SharePoint pages.

Working Groups and Steering Groups

27. CDM Working Group - [CDM Working Group \(sharepoint.com\)](#)
28. Asbestos Working Group - [Asbestos Working Group \(sharepoint.com\)](#)

29. Housing Operational Working Group - [Housing Operational Working Group \(sharepoint.com\)](https://sharepoint.com)

Accident/Incident Report Q1 2024 – 2025

30. **Appendix 5** contains high-level accident/incident reporting statistics for Q1 2024 – 2025. The report was taken on Friday 21/06/2024.
31. A total of 80 reports were received at the time of the report, this is an increase of 13. There has been a large decrease in the number of near miss reports (reduction of 22). At the time of the report a total of 3 RIDDOR reportable incidents have been reported to the HSE, this is a small increase of 1, compared to Q1 2023 – 2024.
32. At the time of the report, a total of 71 days has been lost due to work-related injuries, this is a slight decrease from Q1 2023- 2024. 85% of days lost due to work-related injuries was reported within the Place, Operations & Sustainability directorate.
33. Abusive/threatening behaviour was the top reported cause for all employee reports this quarter. This reflects the continuing trend of increased verbal abuse reporting. The majority of reports (6) were reported by Housing. Slip, trip, and falls was the second most reported cause, the majority of which were reported by waste.
34. The top reported injury type was sprains and strains (11).
35. Waste and Recycling continue to be the highest reporting team within the Council (16).
36. Loading, manual handling and walking make up nearly 50% of activities being undertaken within incidents reported within the Place, Operations & Sustainability directorate.
37. A total number of 24 reports were made involving members of the public, this continues the trend seen last year with an increase in reporting quarter by quarter. The highest reporting cause of injuries were slip, trip, and fall incidents within our housing stock.

Health and Safety Training

38. Using the training reports provided by the corporate learning management system (LMS), the H&S team have put together **Appendix 6** LMS H&S training report Q1 2024 – 2025. Unfortunately, due to the way the raw data is presented, it is extremely difficult to break down the information into services and teams. All health and safety courses included within the training report are required to be completed by the end of September 2024. HR are working with the Corporate Health and Safety team to

improve the raw data reports, additional training will be provided to the Corporate Health and Safety Administrator in Q2.

39. The lowest take up has been from the more operational services, operational services and Housing maintenance employees have reported issues with accessing the LMS via mobile and tablet devices due to the devices being non-compliant. Callum Ranger (Housing Maintenance System Administrator) has been working with trade operatives to try and resolve this issue. HR have also been working with ICT to make IT systems more accessible to operational staff.

Corporate plan priorities

40. All recommendations fall under the Corporate values (LEAF), specifically within the Learning and Ambition categories. All reviewed policies identify additional learning requirements for staff and ways for the organisation to continue to improve their health and safety management systems and to continue to protect employee's health, safety, and welfare.

Options appraisal

41. All recommendations have been made to ensure the Council complies with its legal duties as set out in the relevant legislation (see the reason for recommendations on the first page of this report). If the additional training requirements are rejected, the Council will need to procure additional competent external contractors to undertake works where a Principal Designer is required and when undertaking works with Asbestos Containing Materials. Providing additional training to managers and employees as identified within each of the policies will place the Council at increased risk of enforcement action and civil claims.

Consultation Undertaken

42. All reviewed policies have been through the quarterly Health and Safety Panel, EMT and ESLP. Additional consultation has been undertaken with employees who have been identified with day-to-day responsibilities, this includes Ritchie Thomson (Housing Major Project Service Manager), Peter Whetman (Corporate Asbestos Manager), Josie West (Strategic Procurement Manager) and Amanda Wilson (Information Governance & Complaints Manager)

Financial and resource implications

43. The draft Corporate Control of Contractors and Corporate Control of Asbestos policies introduce new training requirements for certain Council employees, the below table sets out approximate costs for training and the financial impacts it will have.

Training	Required	Cost	Approximate number of employees who require the training
P405 – Management of Asbestos in Buildings	Senior Management who have duty holders responsibilities under CAR2012	£975 (exclusive of VAT)	3
P402 – Surveying and Sampling Strategies for Asbestos in Buildings	Employees who undertake or have the potential to undertake asbestos bulk samples	£875 (exclusive of VAT)	2 (Corporate Asbestos Manager & Asbestos Management Officer) Training already completed
IOSH Managing Safely	All staff who arrange for contractors to carry out works or projects	Classroom learning: £595 +VAT E-learning: £199 +VAT	Unable to provide a specific number of employees
Principal Designer and CDM Course	All staff who take on the Principal Designer Role under CDM (this includes those who make core design decisions as part of a construction project)	Approximately £150 per delegate Available in person and online.	Unable to provide a specific number of employees

Legal implications

44. Not Identified.

Risk assessment

45. Without a suitable and sufficient policy for lone working, the control of contractors and the management of asbestos containing materials, the Council will not be complying with its legal duties as set out within the Health and Safety at Work etc. Act 1974, The Control of Asbestos Regulations 2012 (CAR 2012) and the Construction (Design and Management) Regulations 2015 (CDM 2015).

Environmental / Climate and nature implications

46. Not applicable.

Equalities implications

47. Not applicable.

Crime and disorder implications

48. Not applicable.

Data protection / Information governance / ICT implications

49. It has been identified that there are data protection implications relating to the Council's lone working procedures where these involve employee monitoring.

New Forest National Park / Cranborne Chase National Landscape implications

50. Not applicable.

Appendices

Appendix 1 – Draft H&SP03 – Corporate Control of Asbestos Policy

Appendix 2 – Draft H&SP02 – Corporate Control of Contractors Policy

Appendix 3 – Draft H&SP14 – Corporate Lone Working Policy

Appendix 3A – Draft Appello Lone Worker System Emergency Procedure Flowchart

Appendix 3B – Draft Appello Lone Worker System User Guide

Appendix 3C – Draft Lone Worker Checklist

Appendix 4 – Noise Exposure Report

Appendix 5 – Corporate Accident Incident Report Q1 2024 – 2025

Appendix 6 – LMS H&S Training Report Q1 2024 - 2025

Background Papers:

[ICO Guidance for Data Protection and monitoring workers](#)

[HSG 159 – Managing contractors: A Guide for employers](#)

[L153 – Managing Health and Safety in Construction ACOP](#)

[L143 – Managing and working with asbestos ACOP](#)

Corporate Control of Asbestos Policy

Corporate Health and Safety Team

2024

Version	Author	Date
V2	Corporate Health and Safety Team	14/05/2024

Document History

Name of Policy	H&SP03 Corporate Control of Asbestos
Purpose of Policy	Sets out clear roles and responsibilities in order for the Council to meet its legal duty to manage asbestos under the Control of Asbestos Regulations 2012, The Housing Act 2004 and the Defective Premises Act 1972.
Policy Applies to	The policy and subsequent arrangements apply to all Council employees, contactors and tenants.
Update Frequency	At least every 3 years from the date of issue or as a result of legislative, organisational change or an incident investigation.
Latest Update	May 2024
Update Overview	<p><u>August 2009</u></p> <p><u>March 2011</u></p> <p><u>June 2017</u></p> <p><u>January 2020</u></p> <p><u>August 2021</u></p> <p>Updates to structure of service arrangements, roles and responsibilities and guidance notes, updated into new policy template.</p> <p><u>March 2022</u></p> <p>Updates to structure of service arrangements, roles and responsibilities</p> <p><u>May 2024</u></p> <p>update to policy template, responsible person, roles and responsibilities and corporate training requirements.</p>

Statement of Intent

New Forest District Council (NFDC) places significant importance on the health, safety and welfare of staff, residents, visitors, the public and others who may be affected by its business. It is considered essential that management and staff should work together positively to achieve an environment compatible with the provision of the highest quality service where health hazards to staff, residents, visitors, the public and others affected by its business are minimised so far as is reasonably practicable.

New Forest District Council recognises it has statutory responsibilities as an employer under the Health and Safety at Work etc Act 1974, the Management of Health and Safety at Work Regulations and the Control of Asbestos Regulations 2012. These regulations provide the minimum standard for the control and management of asbestos containing materials.

The Corporate Control of Asbestos Policy and subsequent standard operating procedures (SOPs) will set out how the Council intends to achieve compliance against the relevant legislation and control the risk relating to asbestos containing materials.

NFDC will protect its staff, tenants, visitors, the public and others in the following ways:

1. As a duty holder, appoint an Executive Head with the responsibility to support the Responsible Persons instructed to manage asbestos on behalf of New Forest District Council.
2. The Executive Head will appoint a 'Responsible Person' to ensure the day-to-day management of asbestos containing materials is upheld.
3. The 'Responsible Person' will name an 'appointed person' as the asbestos management officer with the appropriate knowledge, skill, training, and experience to carry out the day today management of asbestos containing materials within the New Forest District Council property portfolio.
4. Ensure that all job roles are assessed and, where there is a requirement to work with asbestos, provide suitable and sufficient training and information to employees.
5. Ensure that those with specific asbestos management responsibilities have the appropriate technical expertise, to protect the Council's interest and comply with best practice, at all times.
6. Ensure periodic assessments are made of training needs in line with current guidance and any future changes.

7. Ensure a Corporate asbestos database and management system is in place and accessible to those who use it.
8. Ensure a comprehensive management plan is in place to effectively manage the portfolio.
9. Undertake suitable and sufficient asbestos management surveys of all premises in line with HSG 264: The Survey Guide. Where asbestos containing materials have been identified, ensure re-surveys are undertaken at suitable intervals as determined in this policy and subsequent arrangements.
10. Ensure refurbishment & demolition surveys are undertaken at the earliest opportunity and prior to work commencing. Sufficient time and resources will be made available to manage any identified risks.
11. Undertake routine Regulation 4 inspections of properties within the determined timeframes set out by the surveyor.
12. Ensure asbestos containing materials are removed as appropriate in accordance with any recommendations within the survey carried out.
13. Ensure routine inspections and compliance checks are undertaken as set out in this policy and subsequent arrangements.
14. Ensure regular audits of the asbestos management process.
15. Ensure all contractors used in the asbestos management process are suitably vetted and competent to undertake their work.
16. Ensure all necessary insurances and licenses remain in place.
17. Ensure only contractors listed on the asbestos framework agreement carry out works on behalf of New Forest District Council, in line with the conditions set.
18. Ensure that contractors are subject to the Contractor Incident Notification Protocol (CINP) and are managed in accordance with it, should the need arise.

This statement of intent is signed below by those acting with overall responsibility for the Duty to Manage asbestos containing materials.

X

Kate Ryan
Chief Executive

1. Introduction

1.1. Background

New Forest District Council (NFDC) acknowledges and accepts its responsibilities under this current asbestos legislation and will proceed with due diligence to address these by the provision of suitable, sufficient and risk appropriate controls to reduce the risks presented by asbestos containing materials to as low a level as is reasonably practicable.

1.2. Aims and Objectives

Set out the guiding principles and arrangements with regards to asbestos safety and asbestos risk management, to achieve and maintain full compliance with its duties under the Health and Safety at Work Act 1974, the Control of Asbestos Regulations 2012, The Housing Act 2004, and the Defective Premises Act 1972.

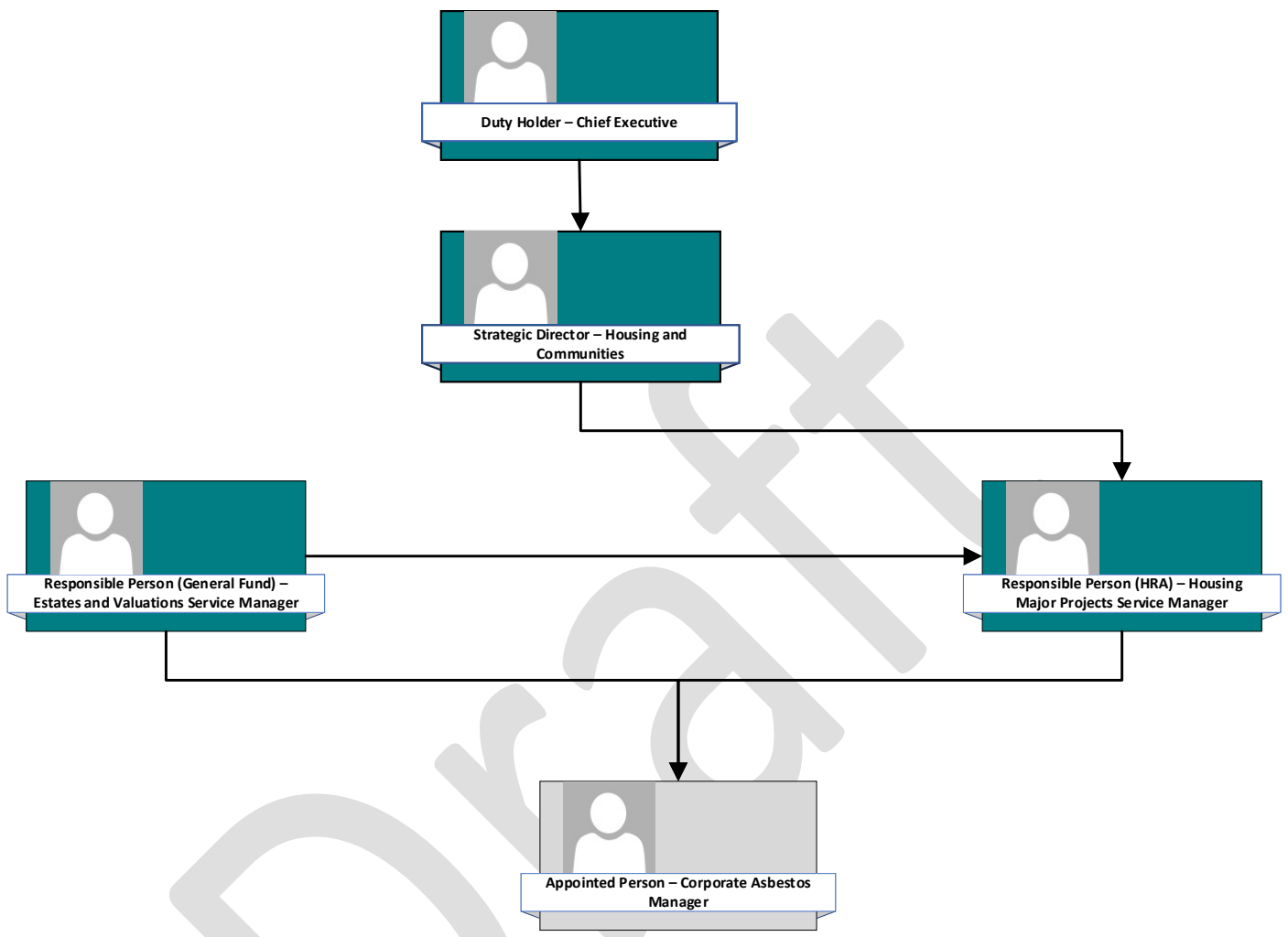
1.3. Scope

This policy and subsequent arrangements apply to all Council employees, contractors, and tenants.

1.4. Standard Operating Procedures

In order for the Council to meet its legal duties as identified under the Health and Safety at Work Act 1974, The Control of Asbestos Regulations 2012, The Housing Act 2004 and the Defective Premises Act 1972, the appointed 'Responsible Person' must produce a Standard Operating Procedure (SOP) for the management of Asbestos Containing Materials (ACMs). This document will act as the Council's Asbestos Management Plan and set out specific arrangements and clear roles and responsibilities to ensure the Council is meeting its legal duties as identified in the relevant legislation. The Control of Asbestos Standard Operating Procedures, as a minimum, must meet the requirements set out in this policy and take the form of procedures and guidance for responsible managers and employees.

1.5. NFDC Asbestos Management Structure



2. Legislative and Regulatory Context

2.1. The Control of Asbestos Regulations 2012

New Forest District Council acknowledges and accepts its responsibilities under this current asbestos legislation and will proceed with due diligence to address these by the provision of suitable, sufficient and risk appropriate controls to reduce the risks presented by asbestos containing materials to as low a level as is reasonably practicable.

The Control of Asbestos Regulations 2012 came into force on the 6th April 2012. They came into effect to help reduce the number of deaths caused from asbestos exposure and related diseases.

CAR 2012 superseded the Control of Asbestos Regulations 2006 and apply to all work with asbestos in the UK. These are supported by an approved code of practice ACOP L143. This ACOP describes in detail how such works should be carried out. Together they set out a framework for controlling exposure to asbestos and the duty to manage asbestos in buildings.

CAR 2012 places a duty to manage asbestos to those who manage or are responsible for maintenance and repairs in a non-domestic building.

New Forest District Council is classed as the Duty Holder if it:

- Owns the building.
- Is responsible through contract or tenancy agreement.
- Has control of the building but no formal contact or agreement; or
- In a multi-occupancy building, it is the owner and has taken responsibility for maintenance and repairs for the whole building, however, in a multi-occupied building, the duty can also be shared. The owner might take responsibility for the part it occupies.

The Control of Asbestos Regulations 2012 applies to all non-domestic premises regardless of the nature of the business or industry. This includes all industrial, commercial, and public buildings. The regulations also apply to the 'common' areas of certain domestic premises, such as blocks of flats. This includes the lifts, foyers, staircases, gardens and so on, but not the individual flats themselves.

The Control of Asbestos Regulations 2012 requires the duty holder to manage the risks of asbestos by:

- Taking appropriate steps to determine if there are any asbestos containing materials (ACMs) present. If found, the amount, location and condition must be recorded.
- Presuming that materials contain asbestos unless there is strong evidence to indicate otherwise.
- Produce and maintain up to date records of the location and condition of all ACMs.
- Access the risk of the identified materials.
- Prepare a plan that clearly sets out in detail how the risks will be managed.
- Take the necessary steps to put in plan into action.
- Review and monitor the plan and arrangements to act on it so that it remains relevant and up to date.
- Provide information on the location and condition of the ACMs to anyone who is liable to work on or disturb them.

2.2. The Housing Act 2004

The Housing Act 2004 introduced the Housing Health and Safety Rating System (HHSRS) is a risk-based evaluation tool used to assess potential risks and hazards to the health and safety of occupants from deficiencies identified in residential properties in England and Wales.

The assessment method focuses on the hazards that are present in housing and tackling these making housing healthier and safer to live in:

- The assessment covers 29 categories of hazard which includes the risk from asbestos and MMMF (exposure to asbestos fibres and manufactured minerals fibres).

2.3. The Defective Premises Act 1972

The Defective Premises Act 1972 sets out the duties for landlords and its liabilities for poorly constructed and maintained buildings. Although asbestos is not specifically named, it requires landlords to take reasonable care to see that tenants and their visitors are safe from personal injury and disease caused by a defect in the state of the premises.

Although Regulation 4 of CAR 2012 doesn't apply to residential tenanted properties, the Council does have an obligation under the Housing act 2004 and the Defective Premises Act 1972 to ensure it manages asbestos within its domestic property portfolio. To ensure full regulatory compliance, it is therefore considered in this policy to apply these controls to houses, flats and other domestic premises that the Council is responsible for.

2.4. The Construction (Design and Management) Regulations 2015

There were changes to the CDM 2007 regulations in 2015, which accounted for new responsibilities. There is a duty on the Principal Designer (PD) and the client, to ensure that exposure to Asbestos is managed throughout the project.

The HSE guidance on the CDM Regulations places more explicit requirements on duty holders to follow the general principals of prevention. The principles also apply to the measures used to prevent or reduce the risk of exposure to asbestos fibres.

As the Control of Asbestos Regulations (CAR 2012) require the duty holders to effectively manage asbestos in buildings, clients should already have information about the location and condition in their building. CDM 2015 in accordance with CAR 2012 ensures a suitable Refurbishment & Demolition Survey is undertaken as forms part of the Construction Phase Plan (CPP).

3. Definitions

Term	Definition
Asbestos Containing Material	Any material that is identified as having, or presuming to have, asbestos fibres within its matrix. Abbreviated to ACM
Standard Operating Procedure for Asbestos	Document which details how asbestos will be managed within the organisation.
Asbestos Management Survey	Survey undertaken by a competent person that aims to ensure that, nobody is harmed by the continued presence of ACM in the premises or equipment; that the ACM remain in good condition; and that nobody disturbs it accidentally.
Asbestos Register	Record present or presumed ACMs, including its location, contain and materials.
Asbestos Working Group	Quarterly management meeting to ensure effective management of asbestos containing materials.
Competent Person	A person with sufficient skills, training, experience and knowledge to undertake their role.
Contractor Incident Notification Protocol	In accordance with the Corporate Control of Contractors Policy, breaches in health and safety legislation and safety standards must not be ignored. The contractor incident notification protocol has been implemented should breaches in legislation or poor health and safety practices be observed during a site inspection. Contractor Incident Notification Protocol (CINP) must be followed. Abbreviated to CINP
Duty Holder	The person within the organisation with overall responsibility of maintenance and repair within a non-domestic premise.
Duty to Manager	Regulation 4 of the Control of Asbestos Regulations 2012, places a requirement on duty holders to undertake a suitable and sufficient assessment as to whether asbestos containing materials (ACMs) are likely to be present in non-domestic premises under their control and then to manage the risk from these materials.
Notifiable Licensed Work	Work with asbestos, where workers exposure to asbestos is not sporadic and of low intensity; or where the risk assessment cannot clearly demonstrate that the control limit will not be exceeded i.e. 0.1 asbestos fibres per cubic centimetre of air (averaged over a four hour period), or on asbestos coating; or on asbestos insulation or asbestos insulating board where the risk assessment demonstrates that the work is not short duration work, e.g. when work with these materials will take no more than two hours in any seven day period, and no one person works for more than one hour in that two hour period. Abbreviated to NLW

<p>Notifiable Non-Licensed Work</p>	<p>Types of work on ACMs where the employer must meet additional requirements, such as, notify work with asbestos to the relevant enforcing authority, designate areas where the work is being done, ensure medical examinations are carried out, maintain registers of work (health records). Abbreviated to NNLW</p>
<p>Refurbishment and Demolition Survey</p>	<p>A survey undertaken by a competent person that aims to ensure that, nobody will be harmed by work on ACMs in the premises or equipment; such work will be done by the right contractor in the right way.</p>
<p>Responsible person</p>	<p>An individual appointed person the Duty Holder to ensure the organisation meets its legal duties outlined within CAR 2012 Regulations.</p>

Draft

4. Roles and Responsibilities

4.1. Chief Executive must:

- Ensure those nominated with responsibilities for the management of asbestos containing materials have sufficient resources, time, and competency to undertake their responsibilities as defined in this policy and within relevant legislation and approved codes of practice.
- Nominate a Strategic Director to assist on the duties of the duty holder.

4.2. Strategic Director – Housing and Communities must:

- Appoint competent Service Managers to take on the duties of the responsible person.
- Ensure those nominated with responsibilities for the management of asbestos containing materials have sufficient resources, time, and competency to undertake their responsibilities as defined in this Policy and within relevant legislation and approved codes of practice.
- Ensure all employees under their control have sufficient training, experience, knowledge, and skill to undertake their role competently.
- When appropriate assist Service Managers in following the CINP.
- Lead by example on all health and safety matters and encourage a positive safety culture ensuring good communication channels throughout the workforce.

4.3. Service Manager – Housing Major Projects must:

- Take on the duties of the 'Responsible Person' for all properties within the HRA property portfolio.
- Appoint a competent person to manage the day-to-day operations of managing asbestos containing materials on behalf of the Council.

- Create and implement a suitable and sufficient Standard Operating Procedures for the management of asbestos containing materials.
- Ensure all properties are identified and recorded on keystone, with a periodic review programme in place to monitor properties.
- Ensure a suitable and sufficient management survey is undertaken for all properties meeting the standards set out in The Control of Asbestos Regulations 2012 and HSG 264 – The Survey Guide.
- Ensure periodic Regulation 4 management survey inspections and remedial actions are undertaken within the set timeframes.
- Seek reassurance from the Corporate Asbestos Manager that the inspection period set at the time of the management/R&D survey is met and any actions identified completed, and records maintained.
- Ensure those nominated with responsibilities for the management of asbestos containing materials have sufficient resources, time, and competency to undertake their responsibilities as defined in this policy and within relevant legislation and approved codes of practice.
- Ensure the systems in place are suitable to ensure the statutory compliance under the Councils duty to manage is met. These systems must be maintained, and access given to the level required of all Council service users and external contractors where applicable.
- Ensure emergency procedures and controls are implemented on behalf of the Council.
- Ensure that the relevant asbestos related information is considered as part of the fire risk assessment process and the details of any specific building related information is provided to the Hampshire Fire & Rescue Service by means of onsite records.
- Chair the Asbestos Working Group.
- Provide the Executive Management Team with regular updates in relation to the Councils position in managing asbestos containing materials.

4.4. Corporate Asbestos Manager must:

- Act as the corporate specialist and lead 'Appointed Person' in discharging the Councils duty to manage asbestos, ensuring the Council complies with statutory and legislative requirements and current best practice.
- Provide competent advice and guidance to all services in relation to the management of asbestos containing materials.
- To be responsible for the provision and updating of the Councils overarching Standard Operating Procedures and processes.
- Maintain the asbestos register and ensure all relevant services are able to access the latest information available.
- Ensure all service requests for management and refurbishment/demolition surveys are programmed and audited within the timeframes set out in the asbestos framework.
- Ensure timely reporting to the relevant service contract administrator prior to works commencing.
- Undertake routine audits, inspections and monitoring of asbestos related work activities to ensure compliance with this Policy and subsequent arrangements, CAR2012 and the approved codes of practice.
- Ensure that suitable frameworks are in place to allow for the commissioning of surveys by third party analysts appointed on behalf of the Council.
- To ensure assessments are undertaken to determine the location, condition, and risk presented by all known and suspected ACMs and recorded effectively on the asbestos register.
- Ensure the asbestos register is populated with sufficient survey information as to allow for the management of asbestos within the Councils property portfolio.
- Ensure that a comprehensive and accurate asbestos register and management plan is in place for all Council properties to which it is the Duty Holder.
- Routinely report to the Responsible Person as to the status of asbestos maintained on the asbestos register, including where any significant changes of risk have been identified.
- In line with CAR 2012, Reg 4, undertake a routine management inspection of known ACMs, ensuring any recommendations are reported to the relevant Service Manager.

- Carry out a programme of full management surveys on all stock as required under the CAR 2012.
- Carry out a full programme of re-inspections on all identified ACMs identified within the scope of Reg 4 CAR2012, annually.
- Ensure refurbishment & demolition surveys are undertaken when advised and appropriate and reported to the relevant service. Provide action returns for the repair, encapsulation, or removal of an ACM, which must be retained on the asbestos management plan.
- Act as the main point of contact for any emergency situation relating to asbestos (in working hours).
- Ensure that works are notified to the HSE, where appropriate.
- Provide specialist advice on compliance, in line with all statutory and regulatory guidance.
- Support the Corporate Health and Safety Team in undertaking accident/incident investigations and act as the lead officer on site following an accident/incident, to ensure the area is left safe and secure.
- Support the Corporate Health and Safety Team in undertaking regular audits of the asbestos management systems and plan.
- Ensure all Housing Maintenance task trained operatives are provided with suitable and sufficient information, instruction and training in order to undertake asbestos task operations.
- Attend the Asbestos Working Group.

4.5. Asbestos Management Officer must:

- Provide competent advice and guidance to all services in relation to the management of asbestos containing materials.
- Maintain the asbestos database and ensure all relevant services are able to access the latest information available.
- Ensure that all service requests for management and refurbishment/demolition surveys are programmed and audited within the timeframes set out in the Control of Asbestos Standard Operating Procedures.

- Ensure timely reporting to the relevant service contract administrator prior to work commencing.
- Undertake routine audits, inspections and monitoring of asbestos related work activities to ensure compliance with this Policy and subsequent arrangements, CAR 2012, and approved codes of practice.
- In line with CAR 2012, Reg 4, undertake routine management inspections of known ACMs, ensuring any recommendations are reported to the relevant Service Manager.
- Assist the Corporate Asbestos Manager in their roles and responsibilities as outlined within this Policy and subsequent arrangements.

4.6. Asbestos Administrator

- Maintain the asbestos management database and register.
- Ensure that information uploaded to the database is accessible and available to all relevant employees.
- Liaise with the Corporate Asbestos Manager and Asbestos Management Officer to ensure the functionality of the system meets the requirements set out in CAR 2012 and relevant industry guidance.
- Provide system support and administrative support in the data gathering and recording processes.
- Provide statistical reports to the relevant responsible persons when requested.
- Liaise with ICT to ensure systems are functioning correctly and are fit for purpose.

4.7. Service Manager – Housing Maintenance Programmes and Servicing must:

- Ensure all employees under their control have sufficient training, experience, knowledge, and skill to undertake their role competently.
- Lead by example on all health and safety matters and encourage a positive safety culture ensuring good communication channels throughout the workforce.

- Ensure that the asbestos register for the property and locations of intended work have been checked prior to commencement of work.
- Ensure all employees under their control have been provided with access to Keystone mini and are provided with sufficient instruction and training to use the system.
- Ensure that any works involving the repair, encapsulation or removal of asbestos containing materials is undertaken in line with the plan of work and reported back to the Corporate Asbestos Manager or Asbestos Management Officer.
- Contact the Corporate Asbestos Manager or Asbestos Management Officer where it has been identified that works may disturb asbestos containing materials.
- Ensure all accident and incidents involving asbestos containing materials are reported to a member of the Corporate Health and Safety team and Corporate Asbestos Management Team.
- Ensure all contractors are selected in line with the corporate procurement procedures and contractors have demonstrated their competence and training to undertake the work.
- Ensure all asbestos task trained employees are face fit tested and provided with suitable respiratory protective equipment.
- Ensure safe system of work are in place for all operational staff who have the potential to work with or come into contact with asbestos containing materials.
- Attend the asbestos working group.
- Ensure a record of any exposure or possible exposure to ACM fibres is reported and recorded on the employee's personal file.

4.8. Service Manager – Estates and Valuations must:

- Take on the duties of the 'Responsible Person' for properties in the general fund property portfolio.
- Ensure all employees under their control have sufficient training, experience, knowledge, and skill to undertake their role competently.
- Lead by example on all health and safety matters and encourage a positive safety culture ensuring good communication channels throughout the workforce.

- Ensure that the asbestos register for the property and locations of intended work have been checked prior to commencement of work.
- Ensure that any works involving the repair, encapsulation or removal asbestos containing materials is undertaken in line with the plan of works and reported back to the Corporate Asbestos Manager or Asbestos Management Officer.
- Contact the Corporate Asbestos Team where it has been identified that works may have disturbed asbestos containing materials.
- Ensure all accident/incidents involving asbestos containing materials are reported to a member of the Corporate Asbestos Team and a member of the Corporate Health and Safety Team.
- Ensure all contractors are selected in line with the Asbestos Framework.

4.9. Senior Managers/Supervisors/Line Managers must:

- Ensure all employees under their control have sufficient training, experience, knowledge, and skill to undertake their role competently.
- Lead by example on all health and safety matters and encourage a positive safety culture ensuring good communication channels throughout the workforce.
- Ensure that the asbestos register for the property and locations of intended work have been checked prior to commencement throughout the workforce.
- Ensure all accidents/incidents involving asbestos containing materials are reported to a member of the Corporate Asbestos Team and a member of the Corporate Health and Safety Team.
- Ensure all contractors selected to undertake works on asbestos containing materials are selected as part of the asbestos framework.
- When required, attend the asbestos working group.

4.10. Corporate Health and Safety Team must:

- Provide competent advice and guidance to all services.

- Carry out investigations into accidents and near misses as necessary, record findings and root causes and provide recommendations for consideration by senior management.
- Undertake periodic audits of the asbestos management systems.
- Ensure all asbestos related incidents which meet the criteria set out in RIDDOR 2013 are reported to the HSE within 10 days.
- Attend the asbestos working group.

4.11. Employees

- Attend any asbestos related training and refresher training as required and identified within their role and safe systems of work.
- Follow all risk assessments, safe working procedures, construction phase plans and training and instruction given to them.
- Follow emergency procedures as outlined within the Control of Asbestos Standard Operating Procedures.
- Report any materials that have been proven to be, or suspected/presumed to be asbestos containing materials, that has either deteriorated or been disturbed to their line manager.
- Comply fully with any investigation process into incidents relating to confirmed or potential asbestos exposure. Where required complete the necessary incident reporting forms in a timely manner and as per instructions.
- Ensure that the asbestos register for the property and locations of intended work have been checked prior to commencing work.
- Ensure that they comply with any stipulated control measures as identified within the risk assessment. This will include the controls set out in the asbestos essential task sheet where being followed.
- Ensure all issued PPE and RPE is used in accordance with the risk assessment, instruction and training given. This includes ensuring safe operation, maintenance and recording as required.

- Dispose of all asbestos waste appropriately in line with training, instruction, safe systems of work and HSE guidance.
- Attend health screening appointments as required when undergoing a medical examination.
- Ensure that a dynamic risk assessment is undertaken on each site to ensure their own safety and that of others, including colleagues, contractors, tenants, and members of the public.

4.13. Contractors must:

- Demonstrate their competence and training required to undertake asbestos related tasks.
- Submit risk assessments and method statements to the relevant line manager or contract administrator prior to the works being undertaken.
- Seek asbestos related information from the Council at the planning stage of the work, based on the relevant scope provided. Where it is agreed by the Council that the contractor can source the refurbishment & Demolition survey as part of the contract, they must be undertaken in line with the asbestos framework and provided to the Corporate Asbestos Team for review and audit prior to works commencing.
- Ensure that they consider all hazards and risks within the construction phase plan and provide all necessary risk assessments and method statements for review within a timely manner. Any asbestos related works must be fully considered and planned and will be subject to audit by the Corporate Asbestos Manager or Asbestos Management Officer.
- Where the construction phase plan and relevant risk assessments identify a task is notifiable licensed work (LW), the contractor must notify the HSE with a minimum of 14 days notification period. They must also provide the Council's Corporate Asbestos Team with the relevant RAMS, a copy of the notification form and demonstrate the competency of the suitably trained individual(s) who are undertaking the task.

- Where asbestos works require the scrutiny of an asbestos analyst for the purposes of works such as reassurance background air testing, site clearances, further analysis etc., the use of an UKAS accredited analyst from the asbestos framework must be used. This must be commissioned directly by the client and not the principal contractor as a sub-contractor or via the licensed contractor as sub-contractor, to ensure impartiality.
- Make provision for and fully cooperate with any inspections and audits undertaken by the Council's Corporate Asbestos Manager or Asbestos Management Officer or an approved analyst, to carry out pre and post removal inspections. Ensuring that any findings or outcomes of the investigations are acted upon where required to ensure best practice.
- Have a suitable emergency procedure in place, which is in line with those controls set out in the Council's emergency procedures.

4.14. Governance Team must:

- Provide appropriate advice and guidance in accordance with the CINP.

4.15. Transport and Depot Manager must:

- Procure vehicles for the use of transporting ACMs in line with the specifications provided by the Housing Maintenance (Operations) Service Manager.
- Ensure all fleet vehicles are maintained in line with the MOT and service schedule.
- Ensure all drivers and the workshop is notified in advanced of any upcoming MOT and service dates.

5. Asbestos Working Group

In order to ensure the Councils safe and effective management of asbestos containing materials, the asbestos working Group has been implemented. The Asbestos Working Group will act as the focal point for those responsible managers to effectively manage the risks related to asbestos.

The Asbestos Working Group will be held quarterly with the key aims being:

- Report and be accountable to the Strategic Director – Housing and Communities.
- Discuss all asbestos related accidents/incidents, including the action taken to prevent reoccurrence.
- To ensure consistency of approach to any notifiable and non-notifiable asbestos incidents are investigated and managed appropriately.
- To ensure investigations are discussed and records of any exposure reported and retained in the appropriate locations.
- To ensure periodic reviews of policy, procedures and systems are undertaken. This must include where Regulations/Guidance change dictates or where an incident outcome determines it.
- To ensure appropriate procedures are followed and those affected by any incidents are communicated to consistently and informatively, such as:
 - (a) Members of the public
 - (b) Tenants
 - (c) Contactors
 - (d) Employees

5.1. Membership of the Asbestos Working Group

Role	Job title
Project Sponsor	Strategic Director – Housing and Communities
Group Chair	Service Manager – Housing Major Projects
Group Champions	Corporate Asbestos Manager Corporate Health and Safety Manager Service Manager – Housing Maintenance, Programmes and Servicing Service Manager – Housing Strategy and Development Grounds and Streetscene Manager Service Manager – Coastal & Public Facilities Civic Buildings & Facilities Manager
Key Group Officers	Corporate Health and Safety Advisor x1 Asbestos Management Officer Housing Asset (Maintenance) Manager Estates and Valuation Manager Maintenance Delivery Manager

6.0. Training, Information & Instruction

Training is an integral part of demonstrating competency and ensuring best practice when managing asbestos. The Control of Asbestos Regulations 2012 emphasises the importance of training and sets out expectations employers must follow.

6.1. Minimum Training Requirements

The following table sets out the minimum training requirements for employees who work with, or have responsibilities for or are likely to come into contact with asbestos containing materials.

Tier	Course	Training Requirement	Accreditation	Assessment	Refresher Period
1	Asbestos Awareness – E-learning	Employees require an understanding of asbestos containing materials however do not undertake works which could disturb asbestos containing materials and are unlikely to come into contact with asbestos containing materials.	None	E-learning (LMS)	2 yearly
2	Asbestos Awareness (Category A)	Employees who are likely to come into contact with asbestos containing materials and have the potential to disturb asbestos containing materials.	UKATA	Certificate of attendance	Annual
3	Non-licensed including NNLW (Category B) Training	Employees who undertake non-licensed works with asbestos containing materials.	UKATA	Certificate of attendance	Annual
Tier	Course	Training Requirement	Accreditation	Assessment	Refresher

4	Duty to Manage Asbestos	Managers/supervisors who have responsibilities of managing and/or organising works which could result in disturbing asbestos containing materials.	None	Certificate of Completion	2 yearly
5	P405 – Management of Asbestos in Buildings	Senior Management who have duty holder responsibilities under CAR2012	BOHS	Certificate of completion.	None
6	P402 - Surveying and Sampling Strategies for Asbestos in Buildings	Employees who undertake or have the potential to undertake asbestos bulk samples and or asbestos re-inspections.	BOHS	Certificate of completion.	None

6.2. Information and Instruction

NFDC are responsible for providing employees, relevant third parties and contractors who are undertaking work on their behalf with suitable and sufficient information in relation to the location, type and condition of asbestos containing materials. Asbestos information must be provided at the earliest opportunity.

6.2.1. Keystone Mini

The Council hold its asbestos register on the Keystone Property Management System. This system is available via an NFDC laptop and is viewable to all employees. Supervisors/Managers have a responsibility to ensure operational staff under their control have access to the Councils Asbestos Register via Keystone Mini. Access to the Asbestos Register must be provided as part of the employees Health and Safety Induction.

6.2.2. Toolbox Talks

In addition to the minimum training requirements set out under section 6.1. Supervisors and Managers must ensure to provide require toolbox talks on the risks relating to asbestos containing materials to their staff.

6.2.3. PPE, RPE and Equipment

Managers and supervisors must ensure they provide employees under their control with suitable information and training in the safe use of any PPE, RPE and equipment which is used in relation to works with asbestos containing materials. Records of training and receipt of PPE, RPE and equipment must be recorded and stored on the employee's personal file.

6.2.4. HSE Asbestos Essentials Handbook

All employees who undertake non-licensed works with ACMs must be provided with a hard copy of the HSE's asbestos essentials as part of their health and safety induction. An online version can be found on the [HSE website](#) and the [Corporate Health and Safety team SharePoint pages](#).

7. Working with ACMs

Only trained competent employee may undertake any works with ACMs. Employees at NFDC will only be permitted to undertake non-licensed asbestos works in line with the HSEs Asbestos Essentials task sheets. All licensed works (LW) and notifiable non-licensed works (NNLW) are to be undertaken by a competent contractor who is apart of the corporate asbestos framework.

If managers/supervisors are unsure if potential works would be categorised as non-licensed asbestos works, please view the decision flowchart on page 6 of [A0 Introduction to Asbestos Essentials](#). Alternatively, please contact a member of the Corporate Asbestos Team.

7.2. Asbestos Waste

All asbestos waste must be sealed in suitable labelled asbestos bags. All asbestos waste should be double bagged to ensure that no asbestos fibres can be released during handling or transport.

Wherever practicable, large items of ridged ACMs such as sheets of asbestos cement and textured coatings attached to a board should not be broken up or cut down for disposal in plastic sacks.

Employee must complete a waste consignment note for all asbestos waste which is to be disposed of. A copy of the waste consignment note must be added into the Warehousing Equipment and Cleaning Coordinator at Marsh Lane Depot. The Warehousing Equipment and Cleaning Coordinator must provide a copy of all waste consignment notes to the Corporate Asbestos team who will update the corporate asbestos register.

7.3. Transporting Asbestos Waste

All asbestos waste must be bagged or wrapped and appropriately labelled prior to transportation. Asbestos waste must only be transported in an enclosed vehicle within a suitable receptacle to ensure the asbestos waste to ensure the bags or wrapping is not damaged in anyway during transportation.

All asbestos waste must be transported and handled in line with [HSE guidelines](#) and the [Hazardous Waste Regulations in England and Wales](#).

All employees must follow the procedures within the Control of Asbestos SOPs.

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8.0. Guidance

- [Hazardous Waste Regulations in England](#)
- [L143 – Approved Code of Practice and Guidance: Managing and Working with Asbestos](#)
- [HSG264 – Asbestos: The Survey Guide](#)
- [HSE Website: Asbestos](#)
- [Corporate Health and Safety Intranet: Asbestos Pages](#)
- [Asbestos Essentials Task Book](#)
- [HSE Website: The duty to manage asbestos in buildings](#)

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Corporate Control of Contractors Policy

Corporate Health and Safety Team

June 2024

Draft

Version	Author	Date
2.0	Corporate Health and Safety Team	July 2024

Document History

Name of Policy	H&SP02 - Corporate Control of Contractors Policy
Purpose of Policy	Sets out clear roles and responsibilities in order for the Council to meet its legal obligation to manage contractors under health and safety legislation, such as The Health and Safety at Work etc Act 1974 and all other associated legislation.
Policy Applies to	The policy and subsequent arrangements apply to all Council services using external contractors to undertake works on behalf of New Forest District Council.
Update Frequency	Bi-Annual
Latest Update	July 2024
Update Overview	<p>February 2006 - First Issue</p> <p>August 2001 – Update to structure of service arrangements, responsibilities, guidance notes.</p> <p>July 2024 - Updated version into new Corporate Template.</p> <p>Update to remove CDM specific information to form CDM guidance.</p> <p>Formation of Corporate Control of Contractors Guidance – CDM / WAF / CINP (see separate documents)</p>

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1. Policy

1.1 – Introduction

New Forest District Council ('the Council') has a duty to ensure compliance with the Construction, Design and Management Regulations (CDM) 2015, The Health and Safety at Work etc. Act 1974 and other associated legislation for all construction projects it undertakes. The Council also has a duty to ensure so far as is reasonably practicable, the health, safety and welfare of its staff, members of the public and any contractors working on their behalf, this also includes non-construction related contractors. This policy sets out clear roles and responsibilities to ensure all construction projects involving one or more external contractors, and the management of non-construction.

1.2 – Scope

This policy applies to:

- All managers who are responsible for engaging contractors and service providers.
- All employees of New Forest District Council.
- All contractors and service providers working on behalf of the Council.

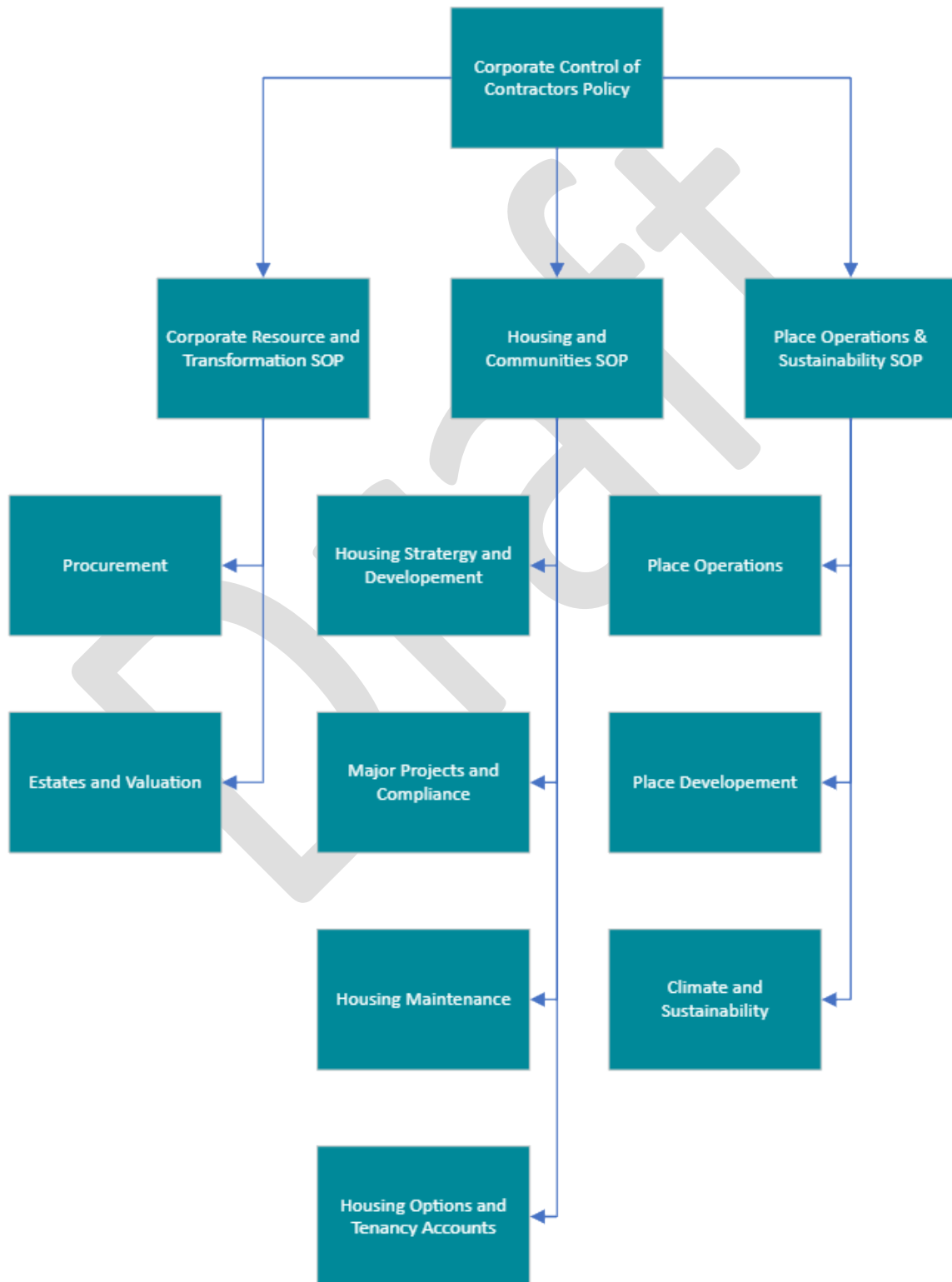
1.3 – The Standard Operating Procedures for Control of Contractors

In order for the Council to meet its legal duties as identified under the various applicable health and safety legislation, all services who arrange for external contractors to undertake work on their behalf must meet the requirements as set out in this policy.

As per the structure below within these directorates there are certain services that are required to produce service specific arrangements, these arrangements must set out specific procedures that must be followed and detail clear roles and responsibilities.

All arrangements must as a minimum meet the requirements set out in this policy and take the form of standard operating procedures, including guidance for responsible managers and employees working in each service. The below hierarchy sets out those specific service arrangements and Management System.

Image: Structure



2. Legislative and Regulatory Context

2.1 – The Health and Safety at Work Act 1974

The Health and Safety at Work etc Act 1974 is the primary piece of legislation covering occupational health and safety in Great Britain. This piece of legislation sets out the general duties which employers have towards employees and members of the public, employees have to themselves and to each other and certain self-employed have towards themselves and others. New Forest District Council acknowledges and accepts its responsibilities under The Health and Safety at Work etc. Act 1974 and will ensure to control all risks to its employees, contractors and those who may be affected by the work they undertake are controlled to as low as is reasonably practicable.

2.2 – The Construction (Design and Management) Regulations 2015

New Forest District Council acknowledges and accepts its responsibilities under this current construction related legislation and will proceed with due diligence to address these by the provision of suitable, sufficient and risk appropriate controls to reduce the risks presented by construction activities to as low a level as is reasonably practicable.

2.3 – Other Associated Legislation

New Forest District Council acknowledges and accepts it has additional responsibilities under associated legislation for activities carried out by contractors. For example, under the Control of Asbestos Regulations 2012 the council has a duty to ensure that any works involving Asbestos are adequately planned, managed and carried out by competent and qualified individuals and that all legislative requirements are complied to. As part of any works being undertaken it is the duty of the Council to ensure legal requirements are met as part of the issuing process. Failure to do so would put legal liability on the Council for failure to carry out adequate checks and ensure assurances are in place to prevent a breach of any applicable regulations.

This is shown in greater detail in section 10.

3. Definitions

3.1 – Table of Definitions

Term	Definition
Asbestos Register	The Council's online asbestos management database.
Client	The member of staff who is held responsible, on behalf of the client service, for a contract, services, or goods.
Client Representative	The member of staff who has been delegated the Client responsibilities under CDM 2015 by the relevant Service Manager or Executive Head.
Competent	Someone who has sufficient training and experience or knowledge.
Construction	<p>The carrying out of any building, civil engineering or engineering construction work and includes:</p> <p>the construction, alteration, conversion, fitting out, commissioning, renovation, repair, upkeep, redecoration or other maintenance (including cleaning which involves the use of water or an abrasive at high pressure, or the use of corrosive toxic substances), de-commissioning, demolition or dismantling of a structure;</p> <p>the preparation for an intended structure, including site clearance, exploration, investigation (but not site survey) and excavation (but not pre-construction archaeological investigations), and clearance or preparation of the site or structure for use or occupation at its conclusion;</p> <p>the assembly on site of prefabricated elements to form a structure or such disassembly, formed a structure;</p> <p>the removal of a structure, or of any product or waste resulting from demolition or dismantling of a structure, or from disassembly formed such a structure;</p>

	the installation, commissioning, maintenance, repair or removal of mechanical, electrical, gas compressed air, hydraulic, telecommunication, computer or similar services which are normally fixed within or to a structure.
Contract Administrator	A designated responsible individual for the management of the contract with a contractor for works/services undertaken on behalf of New Forest District Council. This may be within a project just for the duration or on a longer-term basis for a contractor managed under a framework.
Contractor	Anyone who is commissioned by written or verbal contract or instruction to supply goods, services or undertake work for the Council, but is not a Council employee.
Contractor Incident Notification Protocol (CINP)	The Council contractor management procedures following a breach in H&S legislation or an accident/incident.
Design	Includes drawings, design details, specifications and bills of quantities (including specification of articles or substances) relating to a structure, installation, equipment provision and calculations prepared for the purpose of design.
Designer	Means any person (including a client, contractor or other person referred to in this policy) who is in the course or furtherance of a business. prepares or modifies a design; or arranges for, or instructs, any person under their control to do so.
Procurement	Procurement is the process of locating and agreeing to terms and purchasing goods, services, or other works from an external source, often with the use of a tendering or competitive bidding process.
Suitable and Sufficient	Suitable for the level and complexities of the project.

Qualified	Someone who has completed a formally recognised qualification in a relevant subject.
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4. Roles and Responsibilities

4.1. The Executive Management Team (EMT) must:

- Ensure suitable resources and time is available to all staff involved with the management of construction projects and the management of contractors.
- Ensure all employees under their control have sufficient training, experience, knowledge and skill to undertake their role competently.
- Commission all contracts in accordance with the Council's Procurement procedures and protocols.
- When appropriate, assist Service Managers in following the CINP.
- Lead by example on all health and safety matters and encourage a positive safety culture ensuring good communication channels throughout the workforce.

4.2. Service Managers (SM) must:

- Ensure all employees under their control have sufficient training, experience, knowledge and skill to undertake their role competently;
- Commission all contracts in accordance with the Council's Procurement procedures and protocols;
- Ensure all contract administrators manage contractors in line with relevant procedures and protocols as guided by the procurement team and related guidance.
- Ensure all construction works are carried out in compliance with the CDM Regulations 2015 (see CDM Safe Working Guidance for more information), and other Regulations as applicable.
- Ensure robust control of contractor arrangements are in place and communicated to all their employees.
- Ensure suitable resources and time is available to all staff involved with the management of projects and management of contractors undertaking work on behalf of NFDC.
- Regularly monitor the health and safety performance of their staff under their control.
- When appropriate, ensure the CINP is followed.
- Attend the Control of Contractors Working Group were identified or requested to.

- Ensure their service has adequate professional advice to enable them to comply with the legal expected standards applicable to the project.
- Ensure all contractor incident and accidents are reported and investigated when appropriate.
- Review and sign off on Work Authorisation Forms where needed for all relevant works.

4.3. Client Representatives must:

- Ensure all Services who may be affected by a project are consulted with when creating a project specification.
- Commission all contracts in accordance with the Council's Procurement procedures and protocols.
- Ensure all designers and contractors have the appropriate skills, knowledge, and experience to undertake their role competently.
- Make suitable arrangements for managing a project and ensure those arrangements are maintained and reviewed throughout the project.
- Ensure where the CDM regulations apply that a principal designer and principal contractor have been appointed in writing where there is more than one contractor, or it is reasonably foreseeable that more than one contractor will be working on the project at any time.
- Co-operate with any other person working on or in relation to a project.
- Ensure that all work can be carried out, so far as is reasonably practicable, without risks to health or safety of any person affected by the work or project being undertaken.
- Provide relevant information to those involved in the design and construction processes prior to appointment and throughout the duration of works/project.
- Ensure a suitable and sufficient plan is in place for the management of the work being issued, under CDM this falls under the construction phase plan that is drawn up by the principal contractor or by the contractor where there is only one contractor.
- Ensure that where construction work occurs it is carried out under the CDM regulations, and that the principal designer prepares a health and safety file when appropriate.
- Ensure that where construction work is carried out that all duty holders comply with their duties under The Construction, Design and Management Regulations 2015.

- Where construction work is undertaken, take on the duties of the Client under The Construction, Design and Management Regulations 2015.
- Ensure suitable welfare facilities are available throughout the work or project.
- Ensure an F10 notification of construction project notice is completed for all notifiable projects.
- Ensure that an up to date F10 notice is displayed in the construction site office.
- Ensure all contractor incidents and accidents are reported to a member of the Corporate Health and Safety Team.
- Attend the Control of Contractors Working Group when requested to.
- When appropriate, ensure the CINP is followed.

If undertaking design duties as part of the contract the following applies:

- Ensure all designs comply with the relevant legislative requirements.
- Liaise with the contractor for the duration of the project to ensure designs are being followed.
- Take into account the general principles of prevention and pre-construction information when preparing or modifying designs.
- Eliminate, so far as is reasonably practicable, foreseeable risks to health and safety of any person when preparing or modifying designs.
- Take all reasonable steps to provide with the design, sufficient information about the design, construction or maintenance of the structure, to adequately assist the client, other designers and contractors.
- Ensure that a Work Authorisation Form is completed for all relevant works.
- Do not allow Contractors to commence work prior to a Work Authorisation Form being completed and signed by the relevant responsible person.

There are additional duties specific to the Construction (Design and Management) Regulations 2015 that are covered in the CDM Safe Working Guidance Document.

4.4. Principal Contractors must:

- Plan, manage and monitor the work or project that is being undertaken.

- Take into account the general principles of prevention.
- Ensure that, as far as is reasonably practicable, work is carried out without risks to health and safety.
- Organise and cooperate with contractors and sub-contractors for the duration of the work or project.
- When involving construction work under CDM, during the pre-construction phase, ensure a suitable and sufficient Construction Phase plan is drawn up and shared with the relevant persons.
- Ensure all contractors and sub-contractors follow the Construction Phase Plan.
- Ensure a suitable and sufficient site induction is provided.
- Ensure suitable and sufficient welfare facilities are provided for the duration of the project.
- Provide the Client Representative, Contract Manager and or Designer with any information in their possession relevant to the project.
- Ensure that where the CDM regulations apply that the health and safety file is appropriately reviewed, updated and revised from time to time to take account of the work and any changes that have occurred, when the health and safety file is passed to the Principal Contractor, Client Representative or Contract Manager.
- Ensure that all contractors and sub-contractors are competent to undertake their work.
- Ensure all work is carried out in line with the relevant risk assessments and method statements.
- Follow the site rules at all times.
- Report all accidents and incidents to the relevant manager and include reports to the Client Representative or Contract Administrator.

4.5. Contractors Must:

- Ensure all construction work is carried out in line with relevant risk assessments and method statements.
- Ensure all work undertaken is carried out by those competent to do so with relevant qualifications where required.

- Submit suitable and sufficient risk assessments and method statements to the relevant Contractor Administrator, Client Representative and Principal Contractor (where appropriate).
- Familiarise themselves with the Construction Phase Plan (where appropriate).
- Follow the site rules at all times.
- Report all accident and incidents to the site manager and Contractor Administrator/Client Representative.
- Ensure that, so far as is reasonably practicable, all works are carried out without risk to health and safety.

4.6. Line Managers and Contract Administrators must:

- Ensure suitable and sufficient health and safety arrangements are in place for all works and services being carried out on behalf of the Council.
- Follow procurement processes as set out in the Council's Contract Standing Orders.
- Ensure suitable and sufficient risk assessments and method statements are submitted by contractors at the earliest opportunity prior to works being undertaken.
- Review risk assessments and method statements.
- Report all accidents/incidents to a member of the Corporate Health and Safety team.
- Report all health and safety concerns noted onsite via the CINP.
- Where appropriate, provide contractors with information on potential hazards faced.
- Undertake regular monitoring of contractor health and safety performance.
- Ensure contractor insurances, training and certificates are up to date and suitable for the works being undertaken.
- Ensure that a Work Authorisation Form is completed and approved by relevant responsible management for all relevant works.
- Do not allow Contractors to commence work prior to an approved Work Authorisation Form being submitted (where relevant).

4.7. The Procurement Team must:

- Provide competent advice and guidance to all employees in relation to the procurement of contractors and services.
- Provide support to Contract Administrators at quarterly contractor performance meetings, when requested. Assist relevant Service Manager, Contract Administrators and Client Representatives in actioning the CINP (when appropriate).
- When required, attend the Control of Contractors Working Group.

4.8. The Corporate Health and Safety Team must:

- Provide competent advice and guidance to relevant Council Services.
- Carry out investigations into accidents and near misses as necessary, record findings and root causes and provide recommendations for consideration by management.
- Attend the Control of Contractors Working Group.
- Present a quarterly accident/incident report at the Control of Contractors Working Group.
- Undertake regular audits of contractor H&S documentation, insurances and certifications.

4.9. The Corporate Asbestos Manager must:

- Provide competent advice and guidance to all services in relation to asbestos containing materials;
- Provide suitable and sufficient information on asbestos containing materials within Council properties including its location, type and condition when requested to;

- Ensure refurbishment and demolition surveys are undertaken when appropriate and findings are reported to the relevant services;
- When works have been completed, ensure that relevant services provide action returns for the repair, encapsulation or removal of an ACM, which must be retained on the asbestos database;
- When appropriate, ensure notifiable works are notified to the HSE;
- Carry out investigations into all asbestos related accidents and near misses, record findings, root causes and provide recommendations for consideration by management.

4.10. The Governance Team must:

- Provide appropriate advice and guidance in accordance with the CINP.

5. Procurement of Contractors

5.1. Minimum Documents Required.

As a minimum all contractors must submit method of work statements and site-specific risk assessments, employer's liability insurance and public liability insurance verification, relevant training certification and a copy of their health and safety policy. Depending on the extent of the work a more significant amount of information in greater detail may be required. For example, the same amount of information would not be required for a small singular job compared to an ongoing building project. Insurance cover guidance is available on New ForestNet on the 'Procurement documents' page. Insurance documents and financial health checks must be obtained annually by Contract Administrators.

5.2. Contract Value Procurement Considerations:

For all contracts with a value of over £25k, Service Managers must follow the Gateway process as set out in the Council's Contract Standing Orders. For contracts valued over £25k, contractors will be asked to provide further information, this includes appropriate third-party accreditation. The Council offers a flexible approach and recognises organisations registered under the SSIP safety schemes.

5.3. Additional Procurement Process Requirements:

Service Managers completing the Gateway documents must also provide appropriate information on the risk relating to the contract, specific information on health and safety arrangements and details on how contractors' performance will be monitored throughout its duration, including information on the established Key Performance Indicators (KPIs).

For more information see the [Procurement Documents](#) held on ForestNet.

5.4. Use of Contractors who have already passed the procurement process:

When using a contractor that has already been vetted and passed the procurement process for a previous project, this does not allow the bypassing of the required checks or procurement process that need to be carried out. Those looking to use a contractor must not only comply with the procurement processes and liaise with the procurement team, but also ensure they have been provided with suitable and sufficient risk assessments, in date insurances, and that the contractor has the required expertise and experience for the new work that is being potentially assigned.

Where the procurement process is not required to be followed, the following must be considered:

If being carried out without the involvement of a Contract Administrator, then the full process is to be followed to ensure all correct and adequate information is provided for the proposed works.

If carried out in conjunction with the Contract Administrator, then the updated risk assessments and relevant competencies for outside of the existing provided information should be requested and reviewed.

6. Contractor Works

6.1. Management of Contractors

The Council has a legal and moral duty to ensure, so far as is reasonably practicable, the health, safety and welfare of their employees, other people at work on their site(s), properties or areas where contractor work may be undertaken and members of the public who may be affected by the work that is carried out. This duty also extends to contractors who are undertaking work on behalf of the Council.

No matter how small the job, or how fast it needs to be completed, health and safety must be considered. In order to effectively manage contractors and hazards the following MUST be considered:

1. Planning: Define the job;
 - a. Identify the hazards; Assess the risks;
 - b. Eliminate and reduce the risks identified;
 - c. Contractor monitoring arrangements;
 - d. Contractor risk assessments and method statements.
 - e. Impact on residents or occupants of the site where work is being carried out and consult on this in advance.
2. Working on Site:
 - a. Ensure that a WAF is completed prior to commencing work on site.
 - b. Are contractors required to sign in and out of site?
 - c. Name of contractors who will be attending site?
 - d. Has the appropriate access been provided?
 - e. Who is in control* of the site?

*If the area is under CDM, who is the Principal Contractor and what processes are in place for liaising between them and the contractors visiting.

3. Monitoring:

- a. Ensure contractors are following all control measures outlined within risk assessments and method statements;
- b. Check the work has been completed to the agreed standard.
- c. Ensure any incidents that have occurred are reported* correctly.

*Via the CINP process.

6.2. Risk Assessment and Method Statements:

Under The Management of Health and Safety at Work Regulations 1999, contractors have a responsibility to undertake a suitable and sufficient risk assessment of the work they undertake. Their risk assessment and method statements should fit in with your own, when appropriate.

In order for contractors to prepare a suitable and sufficient risk assessment the relevant Line Manager must provide contractors with all the relevant information about the job, hazards, persons affected etc.

Under the Management Regulations employers with 5 or more employees must record the significant findings of any risk assessment. In order to ensure all hazards are controlled to as far as is reasonably practicable all contractors undertaking work for, or on behalf of the Council must provide a written record of their risk assessment for the work.

When appropriate the relevant Line Manager should provide support to smaller contractors (those with less than 5 employees). All contractor risk assessments and method statements must be reviewed by the relevant Line Manager. Line Managers should contact a member of the Corporate Health and Safety Team for further advice and guidance if required.

Failure to ensure adequate risk assessments are in place prior to work occurring is considered a breach of this policy.

6.3. Certification and Insurance Requirements:

As part of the vetting process when considering the use of a contractor the following considerations must be made when assessing certification and insurance requirements:

Certification

Is there a certificate or standard associated with the work that is being undertaken that reflects the suitability of the contractor or contractors' staff that needs to be in place.

For example,

For gas works, works must only be undertaken by registered Gas Safe employees/contractors. However, for commercial gas works additional qualifications are required.

For scaffolding works, CISRS would be required by the individuals constructing the scaffolding. If following a standardised design those with experience can be considered competent, however, for more advanced and larger scaffold structures more advanced qualifications would be required and potentially if a bespoke design must be drawn up then a competent engineering qualified individual would be required to draw up the design.

Insurance

Adequate insurance for the works being undertaken is required to be in place, this includes public liability insurance where works could result in the injury of a third party such as another employee or member of the public or where the work requires an extended period where a claim could be made if a failure occurs.

6.4. Construction Works (CDM)

When dealing with works covered by “construction” within the definitions of the Construction (Design and Management) Regulations 2015 apply to the works.

For further information see the [Corporate Control of Contractors Guidance - \(CDM\).docx](#) and comply with the requirements as laid out within the guidance document.

7. Contractor Incident Notification Protocol

7.1 Duties and Processes

The Council has a legal duty to ensure that any contractors undertaking work on our behalf comply with their legal duties. Such as Principal Contractor under the CDM Regulations 2015. Therefore, it is the responsibility of the Contract Administrator and or Client Representative managing the work or project to make suitable arrangements to regularly monitor contractor’s health and safety practices onsite.

Breaches in health and safety legislation and safety standards must not be ignored. If breaches in legislation or poor health and safety practices are observed during a site inspection the Contractor Incident Notification Protocol (CINP) must be followed.

If the Contract Administrator, Client Representative, Arranging Supervisor or Manager becomes aware of any incident raised during a site visit the flowchart set out below must be followed.



All action/potential action taken by a Contract Admin or Client Representative under the CINP must be reported to the Control of Contractors Working Group for further consultation.

All relevant managers and contract admins to be notified of any CINP that has been implemented.

Breaches in health and safety legislation and safety standards must not be ignored. If breaches in legislation or poor health and safety practices are observed during a site inspection the Contractor Incident Protocol must be followed.

For further information see the [Corporate Control of Contractor Guidance – \(CINP\)](#).

[Link to CINP Form](#)

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8. Work Authorisation Form

8.1. Purpose of the Work Authorisation Form

The Council has a legal duty to ensure that any contractors carrying out work on their behalf do so safely and in line with health and safety legislation. This is covered under the Health and Safety at Work Act 1974 etc and associated legislation. It is the responsibility of the Client Representative, Contract Administrators, Arranging Managers and Supervisors to make arrangements as part of any work or project to regular monitor contractors health and safety practices onsite. One of the ways that safe work is managed is to complete an authorisation process for the completion of works by contractors.

For more information see the [Control of Contractors Guidance – WAF](#).

9. Control of Contractors Working Group

9.1. Purpose of Control of Contractors Working Group

The principal function of the Control of Contractors Working Group will be to:

- Report and be accountable to the Executive Management Team,
- Discuss all contractor related accident and incidents, including the actions taken to prevent reoccurrence,
- Ensure consistency of approach to any notifiable and non-notifiable construction project related incidents and that they are investigated and managed,
- Ensure appropriate procedures are followed and those effected by any incidents are communicated consistently and informatively, such as:
 - a) members of staff
 - b) tenants
 - c) contractors
 - d) members of the public

In addition, the Control of contractors Working Group exists to fulfil the requirements of consultation on health, safety and welfare as laid down in the relevant legislation and regulation and the minutes will be made available through the Corporate Health and Safety SharePoint site.

It will also act as a group to help those responsible managers to effectively manage the control of contractors to carry out works and projects in relation to health and safety policies, procedures, and practices.

9.2. Control of Contractors Working Group Process

The Control of Contractors Working Group will be undertaken quarterly and provide the relevant managers and employees with:

- A facility to ensure all services are following their legal requirements as per relevant health and safety legislation and complying with all relevant Council policies, arrangements and procedures.
- Where “construction” is involved the facility to ensure all services are following their legal requirements as outlined under The Construction (Design and Management) Regulations (CDM) 2015 and all relevant Council policies, arrangements and procedures specific to this subset of the control of contractors.
- A culture of co-operation and trust through listening, gaining a better understanding and collective problem solving.
- A facility to consult on ongoing health and safety concerns and issues with contractors.
- A facility to identify potential risks within current on-going projects and future projects.

The additional functions of the Group are to: -

- Consider and comment on the introduction of any process which may substantially affect the health, safety or welfare of employees, public or contractors.
- Develop measures, procedures and information to eliminate reduce, isolate and control risk.
- Discuss and action additional training as needed for the safe management of contractors, projects and works.
- Monitor contractor compliance with health and safety legislation and industry standards.
- Monitor and provide statistical analysis of contractor incidents.
- Present accident investigation reports and findings.
- Consider all safety issues raised and take action as appropriate.

10. Training

10.1. Minimum Training Requirements

The following sets out the minimum training requirements for employees who arrange and/or plan works/projects involving contractors.

TIER	Course Name	Requirement to Undertake	Frequency
1	IOSH Managing Safely	All Staff who arrange for contractors to carry out works or projects.	Every 2 years
2	E-Learning CDM Awareness	All Staff who arrange for Construction related contractor works or projects.	Annual Refresher (Not Required on years completing Tier 3/4)
3	IOSH CDM Awareness	All Staff who arrange for Construction related contractor works or projects.	Every 3 Years
4	Principal Designer and CDM Course	All Staff who take on the Principal Designer Role under CDM (this includes those who make core design decisions as part of a construction project)	Every 3 Years

In addition, the training on the Procurement process, Standard Operating Procedures for the relevant service where it applies is to be refreshed every 2 years or where a significant change to process occurs. For examples of these courses and where they can be sourced please see [12.3 – Course Examples Guidance](#)

10.2. Training Records

Copies of all training records must be maintained. If any training records are lost the training must be repeated as soon as possible.

These training records are to be held within the council training records storage system and reminders at the refresher points are to be set to avoid lapsed training certification.

11. Legislation

11.1 Legislation Links

- [The Construction \(Design and Management\) Regulations 2015](#)
- [Health and Safety at Work etc. Act 1974](#)
- [The Management of Health and Safety at Work Regulations 1999](#)
- [The Reporting of Injuries, Diseases and Dangerous Occurrences Regulation 2013](#)
- [The Control of Substances Hazardous to Health Regulation 2002](#)
- [The Provision and Use of Work Equipment Regulations 1998](#)
- [The Control of Asbestos Regulation 2012](#)
- [The Manual Handling Operations Regulations 1992](#)
- [The Work at Height Regulations 2005](#)

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12. Guidance Documents

12.1 – Safe Working Guidance

- [Corporate Control of Contractors Guidance - \(CDM\)](#)
- [Corporate Control of Contractors Guidance - \(CINP\)](#)
- [Procurement Documents](#)

12.2 – HSE Guidance Documents

- [L153 – Managing health and safety in construction](#)
- [1NDG411 – A short guide for clients on the CDM regulation 2015](#)
- [Citb - webpages](#)
- [HSE CDM webpages](#)
- [HSG159 – Managing Contractors](#)

12.3 – Course Examples Guidance

IOSH Managing Safely

- [IOSH Managing Safely Online - IOSH Approved Online Course \(first4safety.co.uk\)](#)
- [Managing Safely | IOSH](#)
- [IOSH Managing Safely | British Safety Council \(britsafe.org\)](#)

IOSH CDM Awareness

- [IOSH CDM Awareness | First4Safety.co.uk](#)
- [CDM Awareness Training - CDM Courses | Astutis](#)
- [CDM Awareness - CITB](#)

Principle Designer and CDM Course

- [Course: CDM and the Role of the Principal Designer \(hse.gov.uk\)](https://www.hse.gov.uk)
- [The Principal Designer Responsibilities Under CDM 2015 \(astutis.com\)](https://www.astutis.com)
- [CDM for Principal Designers - CITB](https://www.citb.co.uk)
- [RIBA Principal Designer Course \(architecture.com\)](https://www.architecture.com)

These courses are examples of the standards expected. Equivalents to these courses can be used, prior to booking please contact the Corporate Health and Safety Team to ensure they are suitable.

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Corporate Lone Working Policy

Corporate Health and Safety Team

2024

Draft

Version	Author	Date
3.0	H&S Team	April 2024

Document History

Name of Policy	H&SP14 – Corporate Lone Working
Purpose of Policy	This policy outlines the processes and procedures managers must follow in order to carry out a suitable and sufficient risk assessment of lone working activities undertaken by New Forest District Council.
Policy Applies to	All employees, agency workers and volunteers who may undertake lone working activities or undertake work out of hours on behalf of New Forest District Council
Update Frequency	Bi-annual
Latest Update	April 2024
Update Overview	<p>2019 Reviewed and amended reflecting the changes to CCTV and Community Alarms operating 24/7. The Introduction of a mobile phone worker monitoring solution and the review of a lone worker personal alarm device.</p> <p>2024 Changes made to templates and inclusion of the Appello Lone Working System.</p>

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1. Policy

1.1. Introduction

Working alone is not in itself against the law and it will often be safe to do so. The law requires employers to consider and address any health and safety risks for people working alone.

New Forest District Council (NFDC) will ensure, so far as is reasonably practicable, that all NFDC employees, agency workers or volunteers, who are required to undertake lone working activities are protected from risks to their health, safety, and welfare.

This policy sets out the specific processes and procedures in place that all NFDC managers, supervisors and employees must follow when undertaking a lone working activity.

1.2. Scope

All employees, agency workers and volunteers who may undertake Lone Working activities or undertake work out of hours on behalf of New Forest District Council.

2. Legislative and Regulatory Context

2.1. The Health and Safety at Work etc. Act 1974

The Health and Safety at Work etc Act 1974 is the primary piece of legislation covering occupational health and safety in Great Britain. This piece of legislation sets out the general duties which employers have towards employees and members of the public, employees have to themselves and to each other and certain self-employed have towards themselves and others. New Forest District Council acknowledges and accepts its responsibilities under The Health and Safety at Work etc. Act 1974 and will ensure to control all risks to its employees, contractors and those who may be affected by its arrangements are controlled as low as is reasonably practicable.

2.2. The Management of Health and Safety at Work Regulations 1999

Management of Health and Safety at Work Regulations 1999 is a piece of legislation covering the management of occupational health and safety in the workplace in Great Britain. This piece of legislation sets out the general duties which employers have relating to the expectations to risk assess, implement arrangements for planning, control, monitoring, and use of preventative and protective measures, provide instruction and training and consultation. NFDC acknowledges and accepts its responsibilities under the Management of Health and Safety at Work Regulations 1999 and will ensure to implement all the necessary controls and management methods to minimise the risks to its employees.

3. Definitions

Term	Definition
Lone Worker	Those workers who work by themselves without close or direct supervision
Lone working activity/activities	Any tasks that while being carried out are done so by a single member of staff without proximity or supervision throughout the process
Close or Direct Supervision	The direct presence of another employee or manager, dynamic oversight or adequate regular monitoring could constitute supervision.
Suitable and Sufficient	Suitable for the level and complexities of the work/task/project
Risk Assessment	A careful recorded examination of what, in your work, could cause harm to people, so that you can weigh up whether you have taken enough precautions or should do more to prevent harm.
Competent Person	Someone who has sufficient training, experience, and knowledge
Hazard	A potential source of harm or adverse health effect on a person or persons
Risk	The likelihood that person may be harmed or suffers adverse health effects if exposed to a hazard
Appello Lone Worker	The Corporate Lone Working system which allows employees to create and manage lone working sessions on their mobile device.
Buddy System	An agreed upon process between the lone worker and the buddy (co-worker), both employees must agree a timeframe the buddy/lone worker will make contact during a lone working session. If no contact is made within the agreed upon timeframe, emergency procedures must be followed
LMS System	The Councils Learning Management System, LearningPool

4. Roles and Responsibilities

4.1. Senior Managers Must:

- Ensure all employees they are responsible for have sufficient training, experience, knowledge, and skill to undertake their role competently.
- Ensure sufficient resources are available to support lone workers in an emergency.
- Ensure suitable and sufficient risk assessments and method statements are in place for all lone working activities undertaken by employees they are responsible for.
- Regularly monitor the performance of all lone worker safety systems provided to employees under their control.
- Review quarterly reports on issues arising from lone working activities and provide support to management to rectify these issues as needed.

4.2. Supervisors/Line Managers Must:

- Ensure all employees they are responsible for have sufficient training, experience, knowledge, and skill to undertake their role competently.
- Ensure sufficient resources are available to support lone workers in an emergency.
- Undertake suitable and sufficient risk assessments and method statements for all lone working activities undertaken by employees they are responsible for.
- Ensure all risk assessments and method statements are made available to employees.
- Ensure all employees who have been identified as Lone Workers complete a lone worker pre-registration form.
- Ensure the information held on all lone worker pre-registration forms are up to date and relevant.
- Where appropriate, update the lone worker pre-registration form and inform a member of the CCTV control room of any changes.
- Provide regular toolbox talks to all employees in the safe use of any lone worker equipment provided to them as part of their job role.

- Keep a signed record of toolbox talk attendance.
- Regularly monitor the performance of all lone worker safety systems provided to employees under their control.
- Investigate any incidents/accidents/near misses that occur during lone working activities and look to take appropriate steps to mitigate this risk in the future.

4.3. Employees Defined as Lone Workers Must:

- Attend mandatory and role specific training and toolbox talks identified for their job role.
- Follow all control measures and procedures identified on relevant risk assessments, method statements and standard operating procedures.
- Not place themselves or others in increased danger when undertaking lone working activities.
- Where appropriate, ensure their work and personal mobile phone is fully charged prior to undertaking a lone working activity.
- Where appropriate, complete the lone worker pre-registration form as part of their Health and Safety Induction
- Ensure all information held on the lone worker pre-registration form is always up to date and relevant.
- Ensure their outlook calendar is up to date, including the location, timeframe, and type of lone working activity.
- Ensure the job information held is current and up to date on UniClass.
- Report any incident/accident/near miss, including any verbal or aggressive behaviour to their line manager and a member of the Corporate Health and Safety Team.

4.4. Corporate Health and Safety Team

- Provide competent advice and guidance to all services in relation to lone working.
- Carry out investigations into accidents and near misses as necessary, record findings and root causes and provide recommendations for consideration by management.
- Provide statistical analysis of the use and effectiveness of lone working devices/systems at service Safety Panels and to EMT on a quarterly basis.
- Undertake routine audits into the effectiveness of lone working control measures and devices used by services within the Council.

4.5. CCTV Control Room Must:

- Update Appello systems when provided with a new lone worker pre-registration form or when a change has been identified.
- Liaise with relevant supervisors, line managers, senior managers, and emergency services as part of the emergency response procedures.
- Ensure adequate priority is given to lone workers when an event occurs.
- Record all actions taken when a lone worker is not contactable, as identified within the emergency escalation procedures.

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5. Risk Assessment

5.1. Managing Risks and Risk Assessment at Work

NFDC is required by law to protect its employees, and others, from harm. Under the Management of Health and Safety at Work Regulations 1999, NFDC must undertake suitable and sufficient risk assessments for all hazards NFDC employees, agency workers and volunteers may be foreseeably exposed to during their working day.

It is the responsibility of the relevant supervisor/manager to ensure suitable and sufficient risk assessments are in place for all activities employees they are responsible for undertake.

In order to complete a suitable and sufficient risk assessment, supervisors and managers should follow the HSE’s 5 steps to risk assessment. In addition to the steps set out in this policy.

5.2. Identify the Hazards

The first step will be to identify all the hazards associated with the task. In relation to lone working activities, it is important to consider a number of factors, they include:

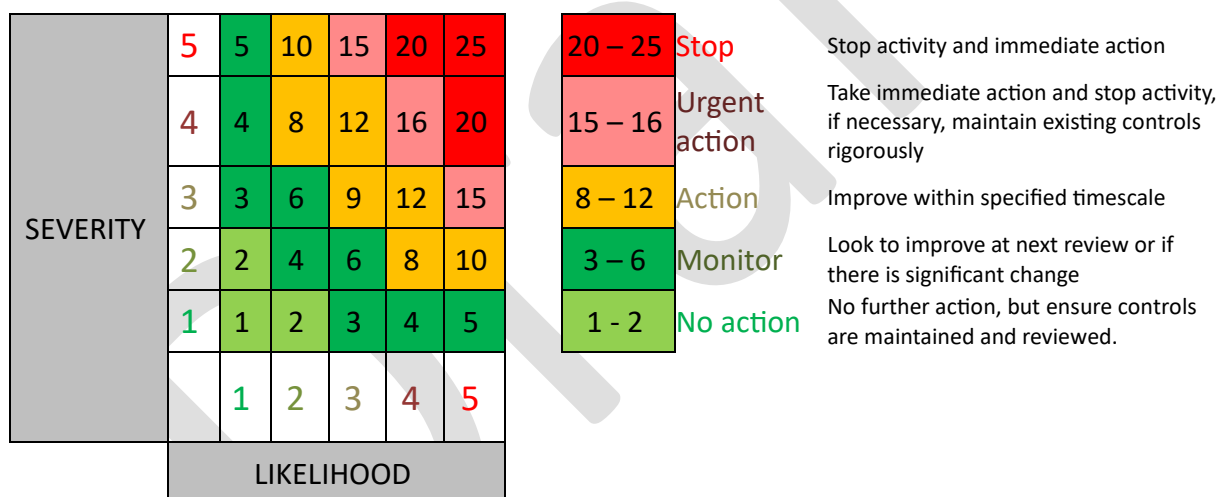
Factors	Considerations
Environment	Is the task being undertaken in a rural environment, a public place etc.? is suitable lighting available? is phone signal suitable and are employees/management contactable? Will employees be working on or near other high-risk hazards such as bodies of water, areas where significant hazards are present?
Task	Does the task require the employee to have potentially difficult conversation, such as enforcement action? Does the task require employees to be exposed to other high-risk hazards? Such as working from height, driving on Council business, or operating high risk machinery? Is the task being undertaken outside of normal working hours?
Individual	What competencies does the employee have? Does the employee require specialist training in conflict management? Is the employee potentially vulnerable? For example, inexperienced? Have health concerns which may be affected by lone working etc.?

Factors	Considerations
Members of the public	Will employees be working with members of the public? Does the employee have a relationship with the member of the public? Is the member of the public on the Council Warning Marker Register?
Support available	Is suitable support available to the employee? Who would be notified in the event of an emergency? Is suitable emergency response procedures in place?

A key part of completing any risk assessment is for supervisors/managers to discuss their findings with their employees.

5.3. Assess the Risk

Once you have identified all the hazards you must decide how likely they are to be harmed, and who and how they might be harmed. In order to assist supervisor/managers the Corporate Health and Safety team use a 5x5 risk matrix.



The severity axis identifies the severity of injury if an accident did occur. The following examples should be used as a guide when deciding on the severity.

- 1 = no injury/strains and sprains
- 2 = minor injury such as cuts, bruising etc.
- 3 = injury which result in time off work (less than 7 days missed)
- 4 = major injury which result in hospitalisation or significant time off work (7 or more days)
- 5 = serious event resulting in life changing injuries or death

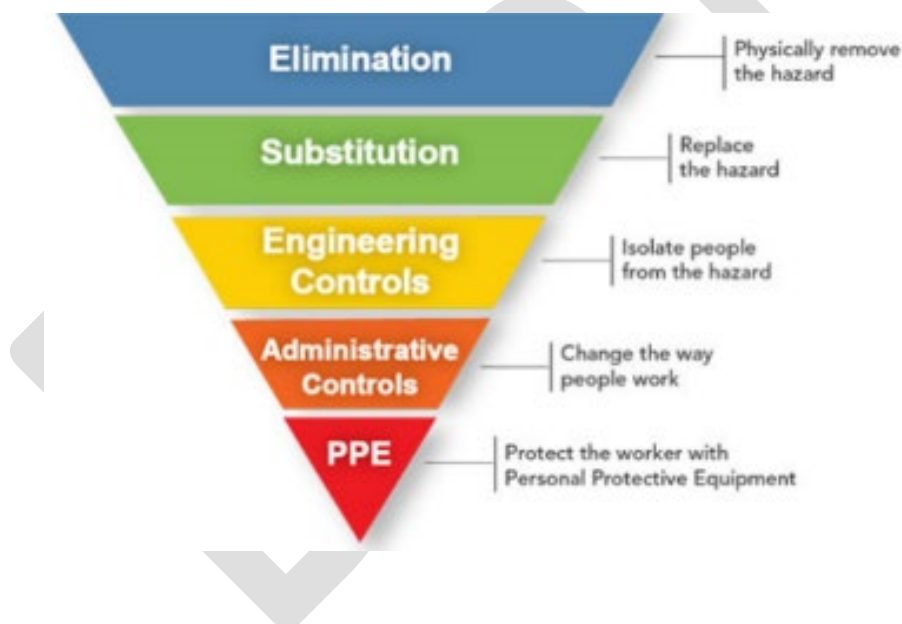
The likelihood axis identifies the likelihood of a hazard occurring. The following examples should be used as a guide when deciding on the likelihood.

- 1= extremely unlikely
- 2 = unlikely to occur
- 3 = fairly likely to occur
- 4 = likely to occur
- 5 = will occur

Once you have identified the severity and likelihood of an accident occurring due to a hazard you must times the scores together to get an overall risk rating.

5.4. Control the Risks

Whenever possible lone working should be avoided. Where it is not possible to avoid a lone working activity, supervisors/managers must follow the Hierarchy of Control when assessing appropriate control measures.



5.5. Record your Findings

It is a legal requirement to record the significant findings of a risk assessment. Managers must write down the significant hazards, identify employees at risk from lone working situations and record the protective and preventative measures.

Supervisors/managers must use the appropriate risk assessment template to record their findings, please see [HealthandSafetyTeamSite - Templates - All Documents \(sharepoint.com\)](#)

5.6. Review the Controls

Risk assessment is a continuous and on-going process. Any significant changes, such as the introduction of a new piece of equipment, an unfamiliar place of work or a change of personnel could introduce new or unfamiliar hazards that are not adequately controlled. All risk assessments must be reviewed by a competent person if there has been a significant change, as a result of an accident investigation or as a minimum every 2 years.

5.7. Risk Assessment Templates

The Corporate Health and Safety Team have made a number of different risk assessment templates for supervisors and managers to use. All templates are available via the Corporate Health and Safety Intranet pages on ForestNet.

[HealthandSafetyTeamSite - Templates - All Documents \(sharepoint.com\)](#)

Supervisors/managers must ensure they use the appropriate templates for the risk assessment being undertaken. For further advice please contact a member of the Corporate Health and Safety Team.

6. Corporate Lone Working Procedures

As identified in the previous section, it is the responsibility of the relevant supervisor/line manager to undertake a suitable and sufficient risk assessment of all lone working activities undertaken by employees under their control, this includes selected suitable controls and lone working monitoring procedures.

The Corporate Health and Safety team have created a **lone working risk checklist** to assist managers in ensuring appropriate lone working control measures are selected for their employees.

6.1. Appello Lone Worker

The Appello Lone working system is the corporate lone working monitoring system. This system should be used by services who have identified medium and high-risk workers, as identified within the **lone working risk checklist**.

Signing up to the Appello Lone Worker System

As part of the employee's health and safety induction process, employees must sign up to the Appello Lone Worker System by completing the '**Lone worker pre-registration form**' this form is available on the Corporate Health and Safety SharePoint site.

Once this form has been submitted the Corporate Health and Safety team will assign the employee into a group, the CCTV control room will then provide the employee with a PIN for the application. PINs will be provided by the CCTV control room via email.

Downloading and using the Appello Lone Worker App

The Appello Lone Worker App is available on the NFDC Play Store. This app is not available on your personal phone's app store. All employees must use their work mobile device when using the system. The Appello Lone Working System is also available via an NFDC laptop or tablet device (**Appello Lone Working System**)

Use of the System and Emergency Response Procedures

Employees must register a lone working session for all lone working activities they undertake. Employees should aim to register each visit as an individual lone worker session, for example each property/location visited. A maximum timeframe of 4 hours should be registered as a lone working session. When registering a session employees must include the address of the location they are visiting, this could include multiple properties. Within the notes section employees must include additional information about the visit, where possible this should include the what 3 words location.

An email will be sent to the employee 10 minutes before their session time is up, if it is likely the lone working session will need to be extended the employee must log back into the system and update the session duration. Alternatively, if the session has come to an end and the employee has returned to a place of safety, they must mark the session as safe.

If the lone worker does not sign back into the app and mark as safe, a call will be raised to the CCTV control room. See Appendix 1.

Management of the Appello Lone Worker System

As identified under Section 4.0. the CCTV control room is responsible for maintenance and management of the Appello Lone Worker System. It is the responsibility of the relevant Service Manager to ensure all lone worker data held is correct and in date.

The Corporate Health and Safety Team will undertake annual audits of the contact information held for the purpose of the Appello Lone Working System.

Line Managers and Supervisors must ensure to notify a member of the Corporate Health and Safety Team and the CCTV control room when a lone worker leaves the organisation, all personal information will then be removed.

Auditing and Monitoring Usage

Monthly activity reports will be sent to all responsible Service Managers. The monthly reports will contain the following:

- All sessions start and end times
- Session durations
- Session address
- Session notes
- Session end reason
- Action required
- CCTV action notes

In addition, the Corporate Health and Safety team will undertake quarterly lone worker reports, these reports will be presented at the quarterly Health and Safety Panels and as part of the quarterly Health and Safety Report to EMT, Employee Side Liaison panel and HR Committee.

The Corporate Health and Safety Team will also undertake regular audits of the systems and its use by employees.

As identified within Appendix 1 Emergency Procedures, a CRM report must be completed by the CCTV control room when a lone workers emergency response contact has been contacted to investigate an activation, where appropriate the Corporate Health and Safety team will undertake an accident investigation into the activation.

6.2. Warning Marker Register

NFDC has a duty to protect the Health, Safety, and welfare of its employees. Where an individual displays behaviour which leads the Council to believe that they may pose a risk to employees that encounter them, the Council must take action to reduce the risk to its employees as far as is reasonably practicable.

The Council, therefore, keeps a central Warning Marker Register (WMR) which records information relating to individuals who pose, or could potentially pose, a risk to employees who encounter them.

All employees who may be at risk or have cause to attend residential or business addresses in the course of their employment must be provided access to the Warning Marker Register as part of their health and safety induction.

Please see the Councils Warning Marker Register Policy for further information. **[HealthandSafetyTeamSite - Warning Marker Register - All Documents \(sharepoint.com\)](#)**.

6.3. Training Requirements

Suitable and sufficient training must be provided to all lone workers. Not only in the forms of the risks associated with lone working, but also the processes and procedures that are to be followed as a result. The provision of training must be assessed as part of the risk assessment process.

As a minimum all lone workers must be provided with general lone working training and personal safety e-learning training, this must be provided by the relevant supervisor via toolbox talks or via the Councils LMS system as part of the employees H&S induction.

Additional training maybe required for those employees who are provided with lone working equipment or who require access to the Councils Warning Marker Register. Suitable and Sufficient training and instruction must be provided as part of the employees H&S induction.

7. Further Guidance

- [Corporate Health and Safety Intranet Pages on Lone Working](#)
- [Corporate Health and Safety Intranet Pages on the Warning Marker Register](#)
- [Corporate Health and Safety Intranet Pages on Training](#)
- [Warning Marker Policy and Guidance](#)
- [HSE Advice for Lone Workers](#)
- [HSE Advice for Managers \(Lone Working\)](#)

Draft

8. Appendices

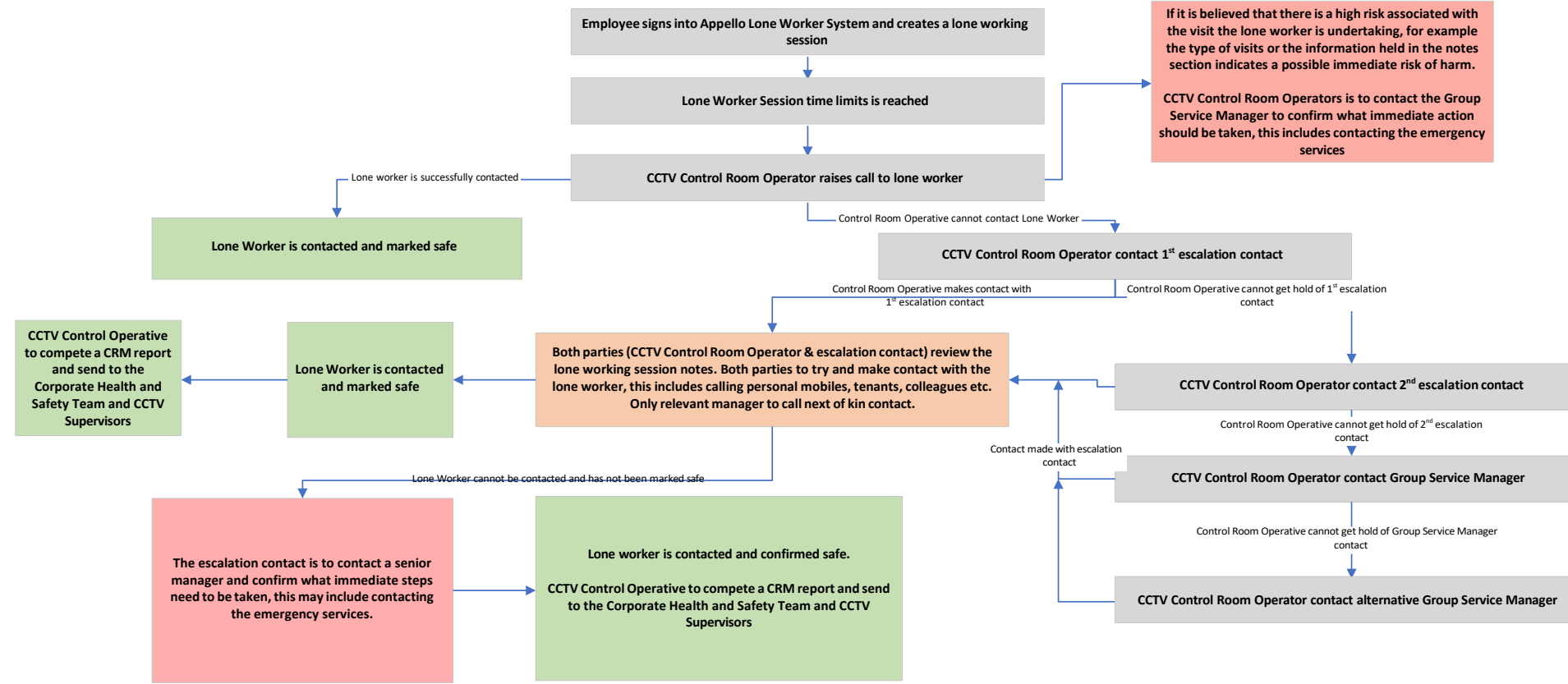
Appendix 1 – Appello Lone Working Emergency Procedures

Appendix 2 – Appello Lone Worker System User Guide

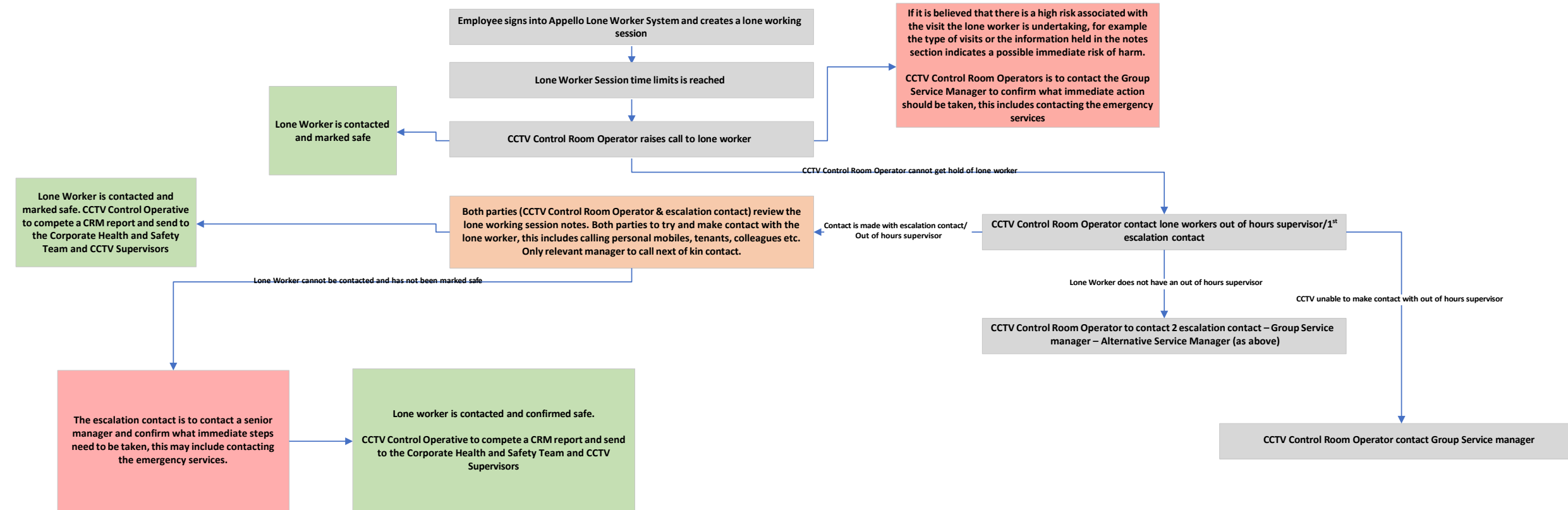
Appendix 3 – Lone Worker Risk Checklist

Draft

Appello Lone Worker System – Emergency Procedures In-Hours



Appello Lone Worker System – Emergency Procedures Out of Hours

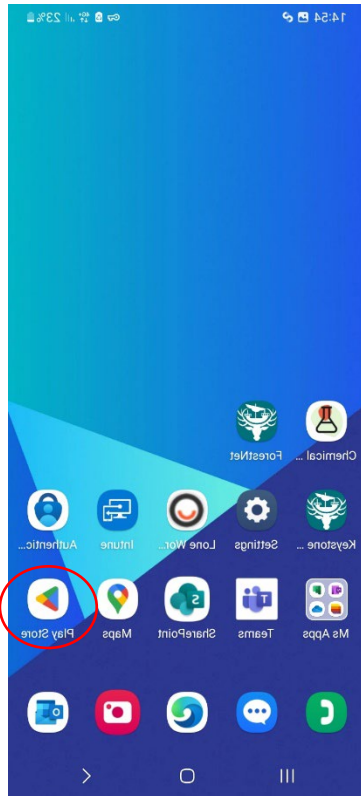


Appello Lone Worker System

User Guidance

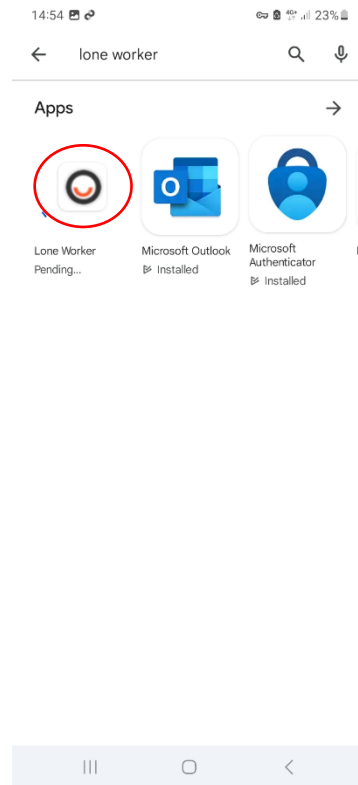


1.0. How to Download the App

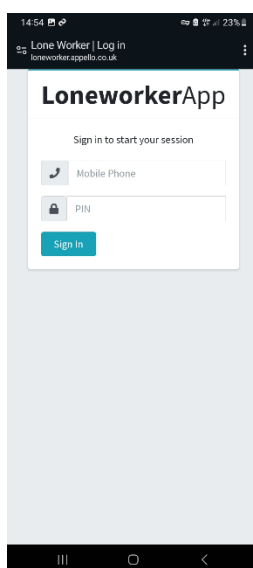


Step 1 – Click on the Play Store Icon (see icon coloured in red)

Step 2 – download the Appello lone worker app by clicking on the icon highlighted in red (on your right)



2.0. Logging into the App

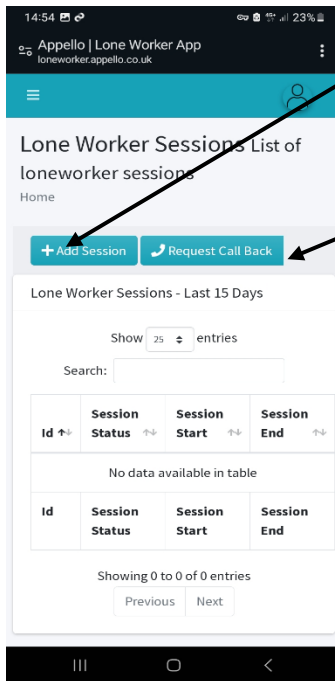


Once you are on the apps home page you need to type in your mobile number and PIN and then click sign in.

Your PIN will be provided to you by the CCTV control room.

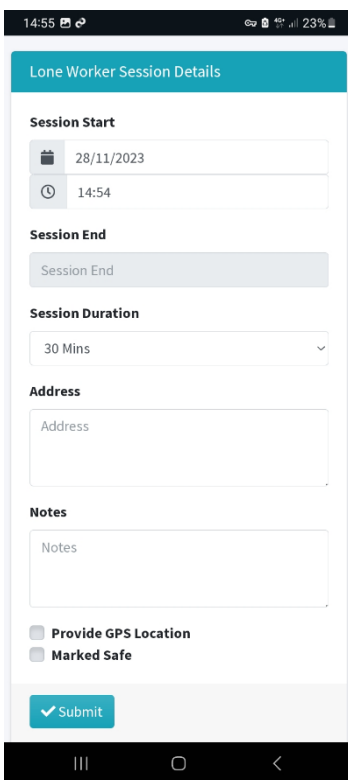
Once logged in you can save your username and password to your device.

3.0. Creating a Lone Worker Session



From the home screen you can create a lone working session. Just click on 'add session'.

You can also request a call back from the CCTV control room if you need assistance, just click the 'request call back' option.



Session Start

Your session start time and date will be automatically populated by the app.

Session Duration

You will now need to select your session duration from the drop-down menu. A maximum of 4 hours should be selected per lone working session from.

Address

Add the address of the location you will be undertaking. If you will be visiting more than one property, please include all addresses visited.

Notes

In this box you should include additional information about the lone working session, this includes the type of visit you are undertaking, any additional risks with the location or members of the public. You should also include the 'what three words' location of your lone working session.

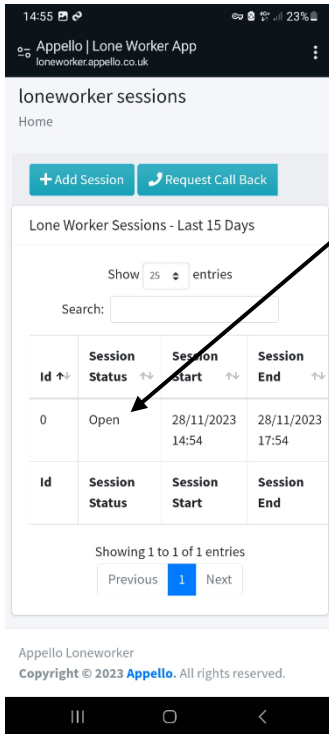
GPS Location

You can also add your current GPS location by ticking the 'provide GPS location' box. This is not live GPS tracking and only provide a GPS location at the time you created the session.

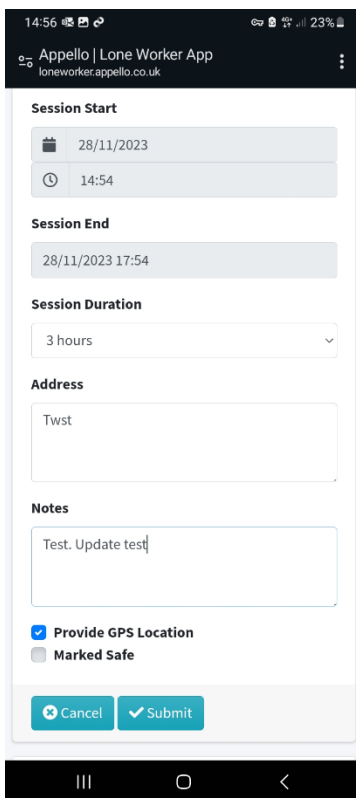
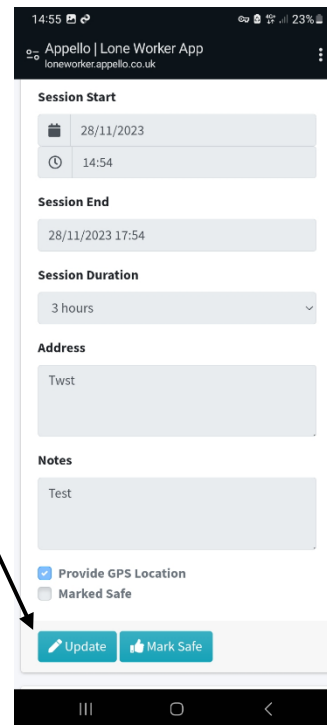
Submit

Once all the information has completed just click submit. You will then receive a prompt to confirm your session has been added.

4.0. How to Update a Lone Worker Session

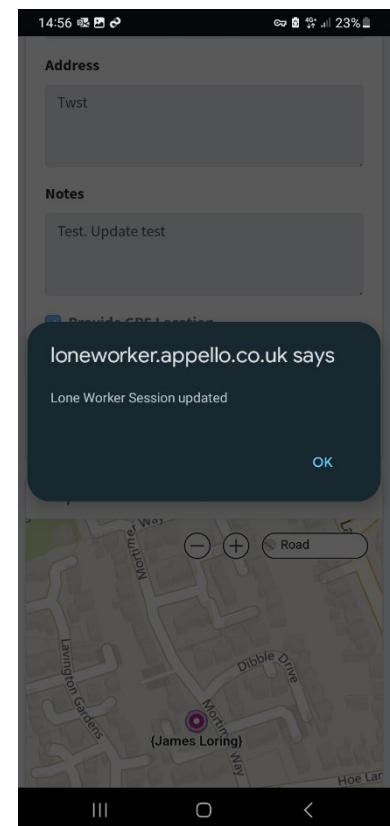


From the home screen you will be able to see all closed and open lone working sessions. To edit an open session to click on the session. To update the session, click on 'update'.

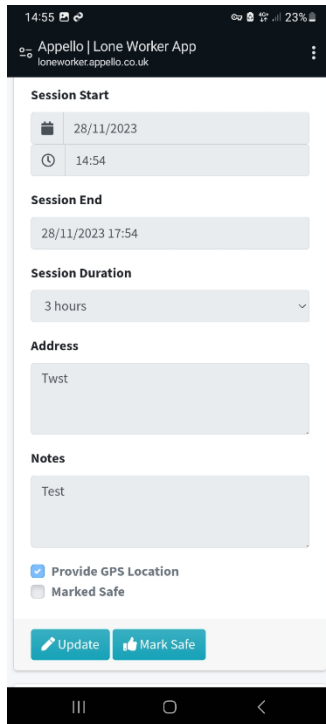


From the screen you will be able to update any of the fields, including changing the session duration.

Once you have updated any information on the session you will be provided with a prompt to confirm you have done this successfully.



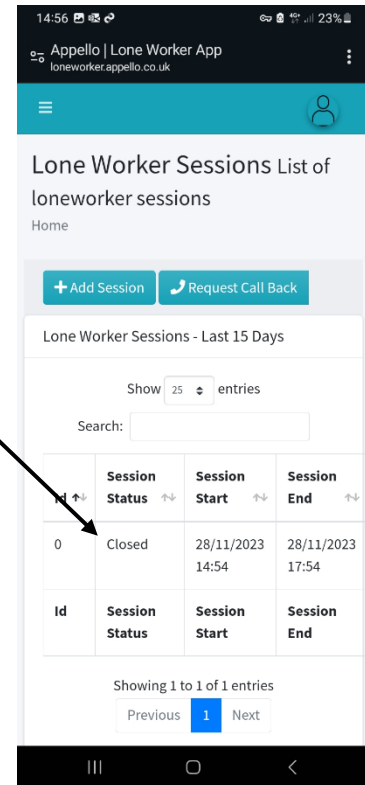
5.0. How to Close a Lone Worker Session



To close a lone working session, you will need to open the relevant session as identified under section 4.

From this screen just click 'mark safe'

You will be able to see if a session has successfully been closed from the home screen.



Lone Worker Sessions List of loneworker sessions

Home

[+ Add Session](#) [Request Call Back](#)

Lone Worker Sessions - Last 15 Days

Show 25 entries

Search:

Id	Session Status	Session Start	Session End
0	Closed	28/11/2023 14:54	28/11/2023 17:54

Showing 1 to 1 of 1 entries

Previous 1 Next

Corporate Lone Worker Risks Checklist

This form is to be used to assist managers and supervisors in determining the risk level of their staff who are identified as a lone worker. A lone worker is defined as those workers who work by themselves without close or direct supervision.

This document will not meet the requirements of a suitable and sufficient risk assessment, following the completion of this checklist, managers and supervisors must complete a suitable and sufficient risk assessment of all lone working activities.

Part 1 – Individual Experience & Competency

Definition	Score	
Individual is experienced and familiar with the role they are undertaking. Suitable conflict management training received.	1	<input type="checkbox"/>
Individual is familiar with the role they are undertaking, but not experienced.	2	<input type="checkbox"/>
Is a young person or individual who requires additional supervision.	3	<input type="checkbox"/>
Individual has specific vulnerabilities: pregnant, health issue, recent injury, etc.	4	<input type="checkbox"/>
Individual has not received appropriate training for the role	5	<input type="checkbox"/>
Individual has not received appropriate training for the role and individual is identified as vulnerable	6	<input type="checkbox"/>

Part 2 – Job Activities & Tasks

Definition	Score	
Individual works at a fixed site, for example ATC, LTH, MLD. Individual has regular supervision from other employees within the Council.	1	<input type="checkbox"/>
Individual works as part of the WorkSmart scheme.	2	<input type="checkbox"/>
Job role requires individual to drive to site as part of their role. They may visit multiple sites during the day.	3	<input type="checkbox"/>
Cash handling is involved in the work they do.	4	<input type="checkbox"/>
Individual undertakes work using equipment such as hand tools, electrical power tools, fixed plant, working from height equipment.	5	<input type="checkbox"/>
Job role requires the employee to undertake enforcement activities such as issuing notices or FPNs.	6	<input type="checkbox"/>
Job role requires the employee to have challenging conversations with members of the public who may express erratic or aggressive behaviour.		

Part 3 – Working Environment

Definition	Score	
Individual is based in a Council office where there will be other staff onsite/support available.	1	<input type="checkbox"/>
Individual has to visit people in their homes which can be pre-arranged over the phone – sufficient information on site/ individual being visited.	2	<input type="checkbox"/>
Job role requires the employee to visit different public sites across the district undertaking basic maintenance works or meeting/working with the public.	3	<input type="checkbox"/>
Job role requires the employee to visit people in their home through reactive issue or complaints, which are unlikely to be arranged ahead of the visit	4	<input type="checkbox"/>
Job role requires the employee to undertake work in remote locations, on or near roads/highways, coastal areas, near deep in land water or other high-risk locations/environments.	5	<input type="checkbox"/>
Job role requires the employee to undertake visits out of hours, evenings, or weekends to unfamiliar sites.	6	<input type="checkbox"/>

Additional comments:

Part 4 - Lone Worker Risk Assessment Score Sheet

3 – 6 = **Low risk** – Monitor the individual/ team/ work being undertaken.

Individuals job is not intrinsically dangerous, Manager/ supervisor may be required to contact staff at the start & end of the day.

Situation to be reviewed when there are significant changes to the job role/ environment.

7-12 = **Medium Risk** – staff need to have a corporate control in place to manage the risk.

Member of staff is a lone worker who could potentially be in a scenario with an aggressive, verbally abusive, or unhappy individual.

Need to ensure the individual has the skillset to deal with aggressive/ emotional/ abusive client scenarios which is reasonably foreseeable.

Need to monitor the control measures which are introduced, e.g., Appello Lone Worker App on mobile phone, to ensure it is being correctly used. Regular refresher training likely to be required.

All action must be based on the likelihood of injury and should be proportionate to a medium risk area.

13 – 18= **Higher Risk** – Staff need to have a corporate control in place to manage the risk,

Member of staff is a lone worker, and it is predictable that they could be in a scenario with an aggressive/ unhappy individual.

Need to ensure the individual has had appropriate training on Conflict Management/ Dealing with Aggression so they have the skillset to deal with aggressive/ emotional/ abusive clients. Specific training may be required for the job role because of specific clientele being dealt with, or enforcement work.

A lone working session should be created for each visit, the employees line manager/supervisor should be notified of the visit/lone working activity.



Noise Monitoring Report

Bulk and Kerbside Glass Collection Rounds

WASTE AND RECYCLING – JUNE 2024

Antony Whittle
NEW FOREST DISTRICT COUNCIL

Kerbside Glass Collection

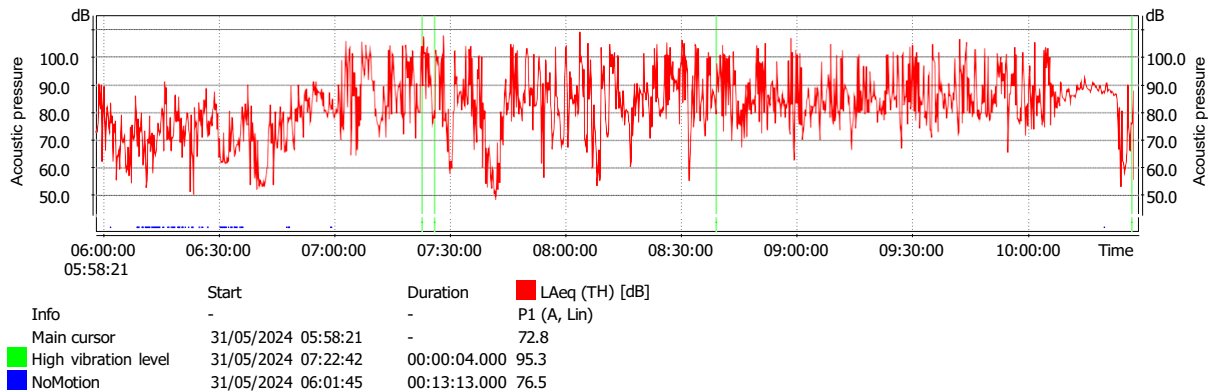
Measurement Report

DATE: 7/12/2024 11:34:14 AM

Instrument configuration

Device function	Dose meter
Measurement start	31/05/2024 05:58:08
Measurement stop	31/05/2024 10:27:03
Measurement elapsed time [HH:MM:SS]	04:28:55
Unit type	SV 104
Unit S/N	132438

Logger results



Noise Dose/TWA

Standard:	ACGIH				
Exchange rate:	3				
Criterion level:	85.0				
Threshold level:	80.0				
	Measurement time	LAV	DOSE	Exposure time	Dose contribution
Task	hh:mm:ss	dB	%	hh:mm	%
Kerbside Glass	04:28:55	94.1	456.6	04:28	456.6
				Total exposure time	Total Dose
				hh:mm	%
				04:28	456.6
				Standard day	8 hr Dose
				hh:mm	%
				08:00	814.9
				Projected day	Projected Dose
				hh:mm	%
				12:00	1222.4
					Projected TWA
					dB
					95.9

Bulk Glass Collection

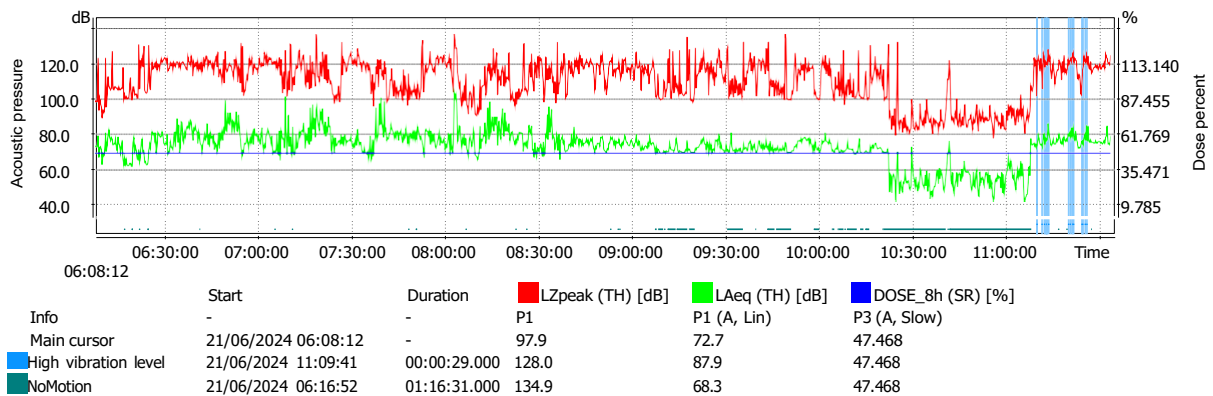
Measurement Report

DATE: 7/12/2024 11:34:14 AM

Instrument configuration

Device function	Dose meter
Measurement start	21/06/2024 06:07:56
Measurement stop	21/06/2024 11:37:53
Measurement elapsed time [HH:MM:SS]	05:29:57
Unit type	SV 104
Unit S/N	132438

Logger results



Noise Dose/TWA

Standard:	ACGIH					
Exchange rate:	3					
Criterion level:	85.0					
Threshold level:	80.0					
	Measurement time	LAV	DOSE	Exposure time	Dose contribution	
Task	hh:mm:ss	dB	%	hh:mm	%	
Bulk Glass	05:29:57	81.8	32.5	05:29	32.5	
				Total exposure time	Total Dose	Total TWA
				hh:mm	%	dB
				05:29	32.5	80.1
				Standard day	8 hr Dose	8 hr TWA
				hh:mm	%	dB
				08:00	47.3	81.7
				Projected day	Projected Dose	Projected TWA
				hh:mm	%	dB
					71.0	83.5

Noise Monitoring Report – Glass Collection (Kerbside and Bulk)

Current Situation:

- Last noise monitoring date for glass collection rounds surveyed in 2019
- Operatives attending hearing related health surveillance appointments on an annual basis
- Top of the range electronic hearing protection supplied to all operatives on glass collection rounds providing protection when required and allows operatives to hear low frequency sounds such as speech and traffic noise (Peltor ProTac)
- No ongoing concerns or issues raised regarding noise levels on glass collection rounds by Management, Supervisors or Operatives in last 5 years

Noise monitoring data and associated exposure levels:

2019 Data

ROUND	DEPOT	COLLECTION TYPE	OPERATIVE	DAILY EXPOSURE	WEEKLY EXPOSURE (5 days)
??	Claymeadow	Kerbside	John Cooper	95dB	96dB
??	Marsh Lane	Bulk	Martin Norris	83.7dB	84dB

2024 Data

ROUND	DEPOT	COLLECTION TYPE	OPERATIVE	DAILY EXPOSURE	WEEKLY EXPOSURE (5 days)
??	Claymeadow	Kerbside	D. Colmer	94.1dB	94dB
??	Marsh Lane	Bulk	M. Norris	81.7dB	82dB



Kerbside Glass Collection

Kerbside glass collection is undertaken by Waste Operatives who collect glass receptacles from residential properties and empty them in to a 240 litre service bin. Once the service bin is full it is attached to a bin lift at the rear of the refuse truck and tipped in to the hopper.

On some occasions the glass receptacles are tipped directly in to side collection points on the waste vehicle.

Operatives are in close proximity when tipping glass from the receptacles in to the service bin and also when tipping in to the side of the refuse vehicle.

Daily average exposure is 94.1dB which is above the upper exposure limit of 85db, at this level the employer is required to take reasonably practicable measures to reduce the noise exposure and hearing protection becomes mandatory if the noise cannot be controlled by these measures.

The exposure would be averaged at 94dB if operatives carry out the same amount of glass collection over a 5-day period.

Bulk Glass Collection

Bulk glass is collected from bring sites containing 1100 litre bins that are filled by residents who bring their empty glass bottles and containers and place them into the bins.

The 1100 litre bins are wheeled to the refuse vehicle and tipped using a bin lift either at the side or the rear of the vehicle.

Operatives are able to stand a good distance away from the refuse vehicle when tipping.

Daily average is 81.7dB which is below the upper exposure limit of 85dB but is above the lower exposure action value of 80dB at which point the employer must provide information and training to operatives and make hearing protection available.

The exposure would increase to an average of 82dB if operatives were to carry out the same amount of glass collection over a 5-day period (working week).

Comparison of Data 2019 – 2024

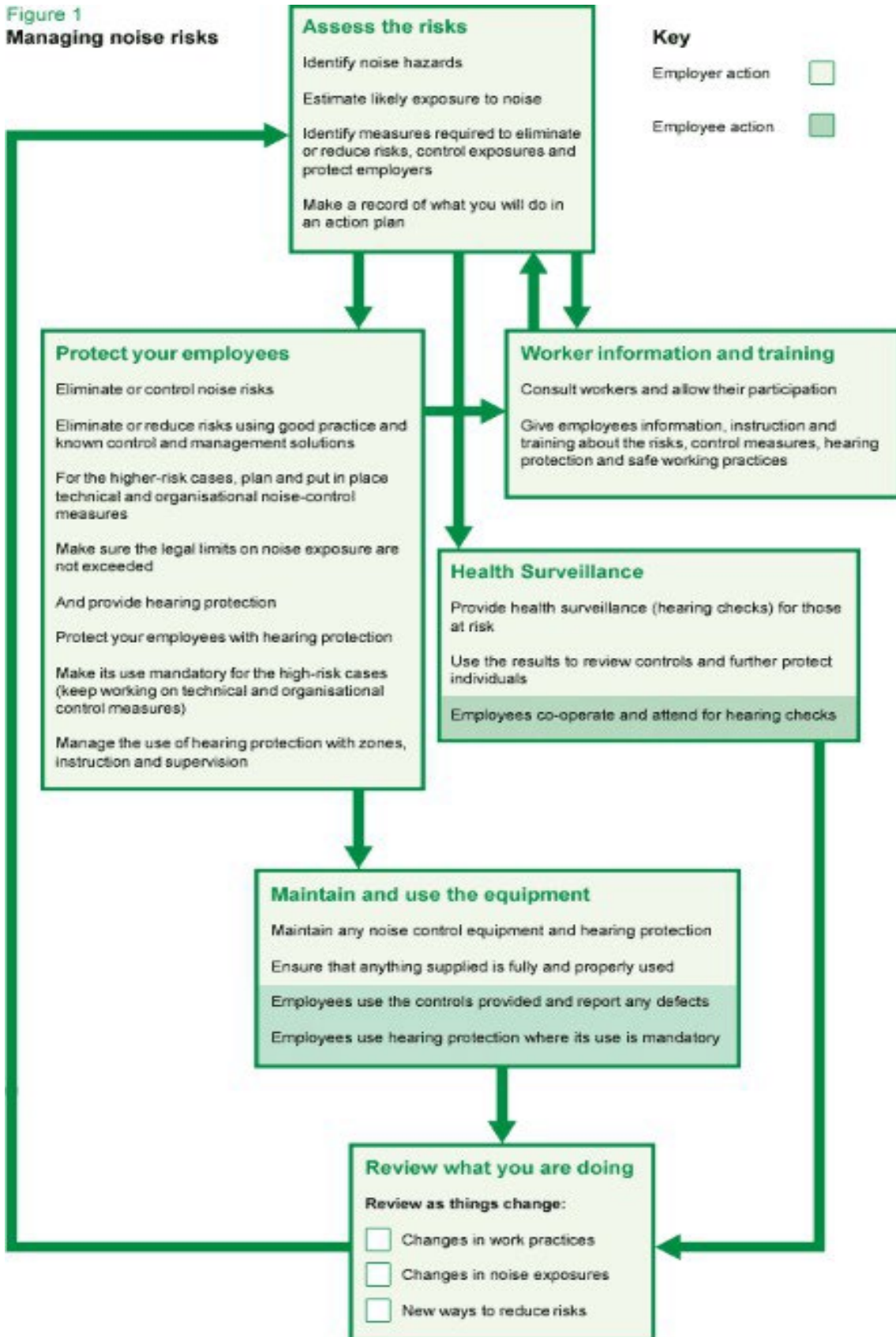
Comparing the noise monitoring data received in 2024 to that received in 2019 that is very little difference to the exposure of the operatives when collecting both kerbside glass and bulk glass.

This is a good indicator that working equipment and working practices have remained consistent over the period 2019 to 2024.



HSE Flowchart Managing Noise Risks

Figure 1
Managing noise risks





Noise Exposure

Prolonged and excessive exposure to noise is a serious health hazard. It accelerates the normal hearing loss we get as we grow older and can cause a permanent sensation of ringing in the ears, known as tinnitus. Less obvious side effects can include increased pulse rate, blood pressure and breathing rate which could indicate that noise causes stress.

Noise is measure in decibels (dB). An increase in 3 dB doubles the noise, so what might seem a small difference in noise level may be a large difference in exposure. If the noise is so loud that you must raise you voice to speak to someone 2 metres away, then it may be loud enough to damage hearing.

Considerations

Measures to eliminate or reduce risks

The Noise at Work Regulations 2005 require you to eliminate noise risks or reduce noise risks and noise exposures to as low a level as reasonably practicable.

Below are control measures to be considered and, if possible, implemented as far as is reasonably practicable.

Alternative working methods

Consider alternative working methods and collection strategies which eliminate or reduce the risks from noise. It is important to remember that changing glass collection systems may have implications other than on the health and safety of employees.

Methods of collecting glass that do not require the glass to be manually tipped or sorted at the kerbside will remove a significant source of noise exposure, and you should consider these when you are developing recyclable collection strategies.

The upcoming Waste Strategy move in 2025 to a mixed recycling collection could see both glass and other recyclables tipped into the same refuse vehicles. This is highly likely to reduce the level of noise that operatives are exposed to although it is unlikely to be below the upper action level of 85dB.

Choice of work equipment

Where possible, choose equipment that produces the least amount of noise. Discuss noise with your plant/machinery suppliers and take account of the likely noise levels produced under conditions of intended use. Suppliers have a legal duty to design their machinery for lowest noise emissions, and to provide information on the noise emitted.



Duties of machine manufacturers on noise

Under the Health and Safety at Work etc Act 1974 and the Supply of Machinery (Safety) Regulations 2008 a supplier of machinery must:

- provide machinery that is safe and without risk to health, with the necessary information and instructions to ensure those aims can be met during installation, use and maintenance;
- design and construct machinery so that the noise produced is as low as possible;
- provide information about the noise the machinery produces, including descriptions of the operating conditions under which the noise was measured.

Some recycling vehicles may be marked with sound power levels as required by legislation relating to environmental noise emissions. These noise values cannot be used to assess occupational noise exposure from vehicles in roadside glass collection. Suppliers should provide useful, representative noise information for users, based on a suitable noise test method.

Work rotation

Reducing the number of glass collection operations carried out by an employee can also lower his or her exposure to noise. This method is not likely to produce significant benefits on its own but may be a useful additional option. Reducing the number of operations carried out by 30% would lower noise exposure by approximately 2dB. A 50% reduction would lower exposure by 3dB.

Working methods

The working method adopted by employees can affect noise exposure. 'Fast' working (i.e. depositing glass to the collection receptacle in a rapid/forceful manner) produces generally higher noise levels than more controlled ('slow') depositing, particularly as the collection receptacle becomes fuller.

Employees should be instructed to avoid 'fast' depositing methods and Supervisors should ensure, through supervision, that they use recommended working methods for reduced noise exposure.

Personal hearing protection

Where employees' noise exposure is between the lower and upper exposure action values they must be provided with hearing protectors, if they ask for them.

Where employees' daily personal noise exposure exceeds 85dB, they must be supplied with personal hearing protection, which must be worn fully and properly. Such exposures have, so far, only been identified for kerbside collection of glass.

The law does not allow hearing protection to be used as an alternative to control noise exposure by other means (such as those controls described in the previous section). It should be used to protect employees' hearing while noise control measures are being developed, and it may be still be necessary to rely on hearing protection after noise exposures have been reduced to as low as reasonably practicable through other means.

The working environment during kerbside collection presents several risks to safety, including working around moving vehicles and working on the public highway. The use of personal hearing protection can potentially increase these risks by masking important sounds, and by inducing a sense of isolation from the general working environment. Therefore, you need to consider these issues, both when selecting personal hearing protection and formulating safe systems of work.

The following should be considered:

- Choose hearing protection that reduces daily personal noise exposures to at least below 85dB, ideally below 80dB – the level of protection required depends on actual noise exposure and care should be taken not to ‘over protect’
- Develop and implement safe systems of work to make sure hearing protection is only worn during noisy activities and is not worn when it is not needed
- Assess the risk of introducing broken glass into the ear, and minimise it by selecting an appropriate type of protector and through systems of work, instructions and training

Where it is not possible to avoid crossing designated roads, additional risks from the use of personal hearing protection can be minimised by considering and implementing, as appropriate, the following options:

- Develop and implement a safe system of work that includes a requirement to remove hearing protection before trying to cross a road
- Provide hearing protectors that are simple to remove and replace as required, for example canal caps or earmuffs
- Provide ‘level-dependent’ (sometimes called ‘amplitude-sensitive’) hearing protectors which are designed to protect against louder noises, while permitting quieter sounds to be relayed to the wearer when noise levels are not high
- Provide ‘flat frequency response’ hearing protectors which can, in some situations, improve wearers’ ability to hear certain sounds such as speech, warning signals and other informative sounds

In all cases, employees using personal hearing protection must be given information, instruction and training that should cover how to obtain personal hearing protection from you, its correct use and requirements for maintenance.

Employees should also receive training in any safe systems of work designed to facilitate the full and proper use of hearing protection in the working environment. This should be in addition to any other training about noise.

You should provide appropriate supervision to make sure employees are wearing hearing protection, and that systems of work are being followed.

Health Surveillance

All employees whose daily personal noise exposure frequently exceeds 85 dB, or whose hearing is at risk, should be provided with health surveillance for hearing damage.

This should include a baseline hearing check on starting a new 'noisy' position, annual checks for the first two years, and then regular checks at three-yearly intervals.

The hearing checks need to be carried out by someone who has the appropriate training. A suitable doctor, nurse or audiologist needs to review the results and ensure that employees with poor hearing or rapid hearing loss are referred for further medical advice.

You should receive results including information on an employee's fitness to continue working in noisy environments. However, you should only receive information on any hearing damage an individual employee has if that employee has given consent.

Where any hearing damage due to noise is identified you should prevent further harm to the employee, taking account of the medical advice you receive on fitness. On the basis of both individual and grouped information, you will need to consider what action you need to take; this should include reviewing your risk assessment, any control measures you have in place and your health surveillance procedures.

HSE Publication: *Noise at Work: Guidance for employers in the Control of Noise at Work regulations 2005*

Information, Instruction, Training and Supervision

All employees must be given enough information and training to carry out their duties safely and effectively (*Management of Health and Safety at Work Regulations 1999 - Regs 10 and 13*).

Any glass collection activities that could expose employees to high noise should not take place unless those employees involved have been fully inducted and trained in relevant safe systems of work and are clear about the processes to be followed. This should include the use of personal hearing protection.

It is particularly important to consider the training needs and supervision of:

- New employees
- Young people
- Employees that have changed roles or are taking on new responsibilities
- Employees for whom English is not their first language



Recommendations and Actions

Recommendation	Status High – Immediate Medium – within 6 months Low – within 12 months	Responsible Officer (Name)	Action by date
Carry out further monitoring of both kerbside and bulk glass collection rounds to ensure that noise exposure data captured is indicative of all rounds and to be able to make more accurate estimations of exposure levels	Medium	Corporate H&S Team	November 2024
Ensure hearing protection currently in use offers the correct level of protection required for the type of glass collection being carried out and does not 'over protect' at the ear	High	Dave Wheeler-Osman (Waste Service Senior Supervisor)	Ongoing
Confirm that the hearing protection currently in use reduces high level noise whilst amplifying low level noise to aid employees hearing traffic, speech and other warning sounds	High	Dave Wheeler-Osman (Waste Service Senior Supervisor)	Ongoing
Implement a system to ensure that all employees, particularly those moving from another role or taking on additional responsibilities that mean they will be exposed to high noise levels, are identified and appropriate health surveillance arranged	High	Colin Mee (Waste Service Operations Manager) and HR Team	September 2024



Consider appropriate amount of health surveillance received by employees carrying out glass collection activities, currently employees are receiving hearing tests annually, but this level of surveillance may not be necessary	Medium	Colin Mee (Waste Service Operations Manager) and Corporate H&S Team	January 2025
Ensure ongoing monitoring of the use of hearing protection takes place during routine Supervisor inspections and appropriate action taken if safe systems of work are not adhered to by operatives.	Low	Waste Service Supervisors	Ongoing
12. Continue to consider and, where possible, implement control measures identified in the considerations section of this report and not rely solely on the provision of hearing protection.	Low	Colin Mee (Waste Service Operations Manager) @ Dave Wheeler-Osman (Waste Senior Supervisor)	Ongoing
13. Stay up to date with current and new technology and initiatives being developed to reduce noise exposure during vehicle workshop operations.	Low	Colin Mee (Waste Service Operations Manager) @ Dave Wheeler-Osman (Waste Senior Supervisor)	Ongoing

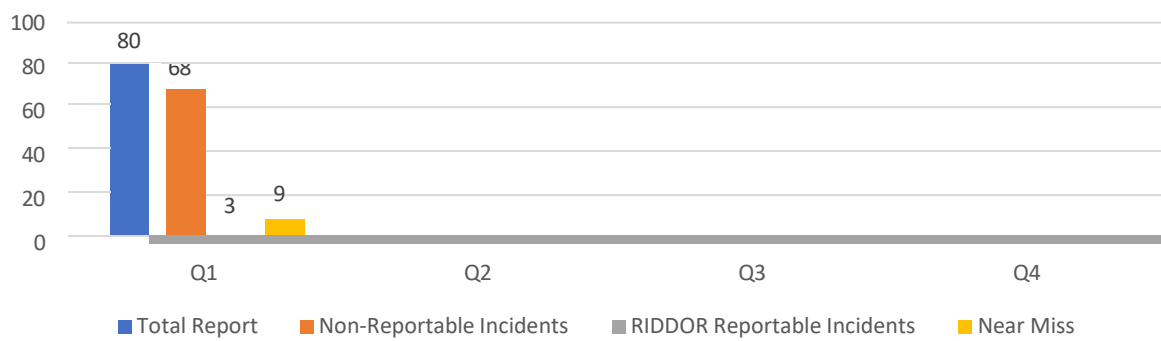
Health and Safety Panel Accident Incident Report Q1 2024 – 2025

This report was taken on Friday 21/06/2024.

1.0 Overall Report Q1 2024 - 2025

	Q1	Q2	Q3	Q4
Total Reports	80 (67)	(70)	(79)	(99)
Non-reportable	68 (34)	(36)	(40)	(43)
RIDDOR	3 (2)	(2)	(5)	(3)
Near Miss	9 (31)	(32)	(34)	(53)

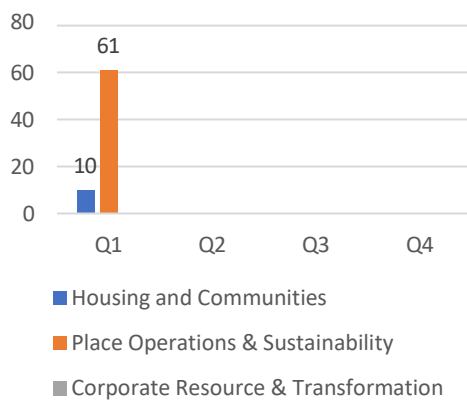
All Reports Q1 2024 - 2025



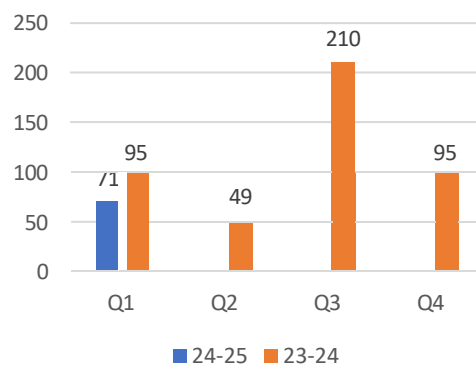
2.0 Days Lost

	Q1	Q2	Q3	Q4
Total Days Lost	71 (95)	(49)	(210)	(95)
Housing and Communities	10 (0)	(0)	(65)	(29)
Place Operations & Sustainability	61 (95)	(49)	(145)	(66)
Corporate Resource & Transformation	0 (0)	(0)	(0)	(0)

Days Lost Q1 2024 - 2025

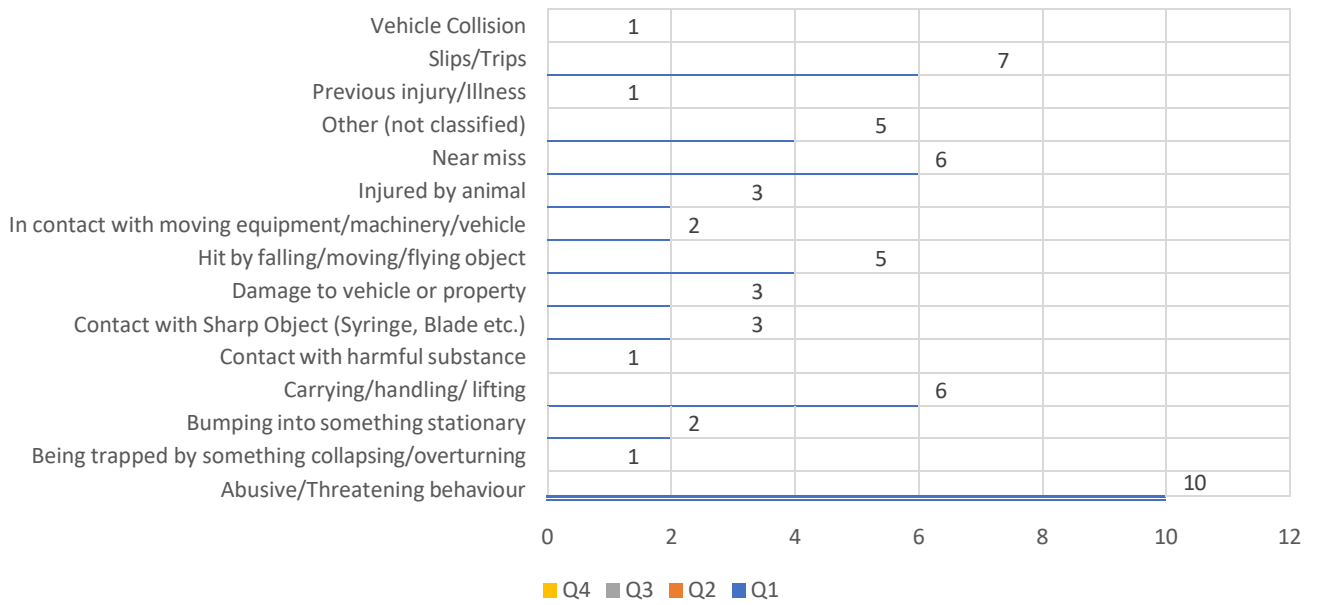


Days Lost Year Comparison

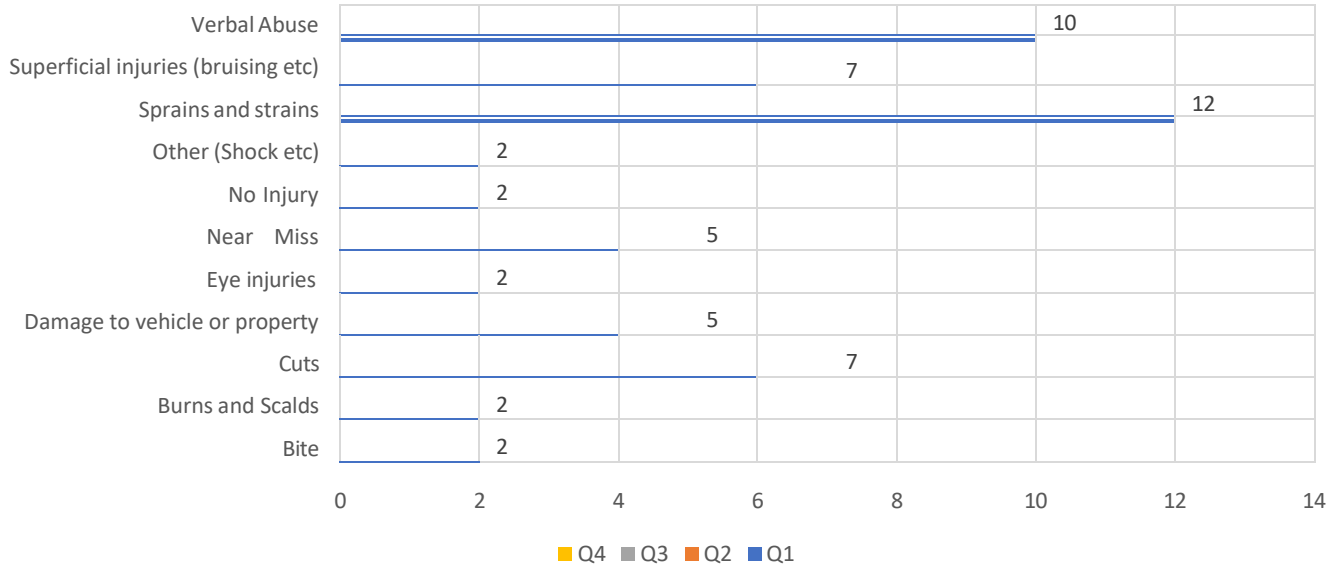


3.0 Employee Reports

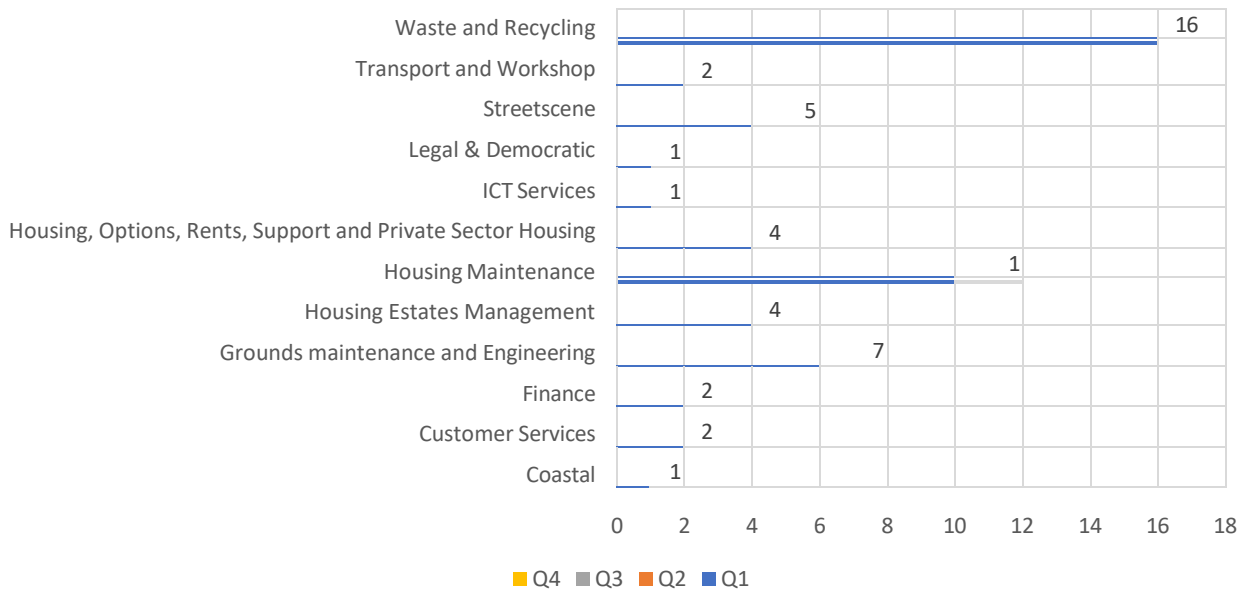
Employee Reports - Cause



Employee Reports - Injury Types



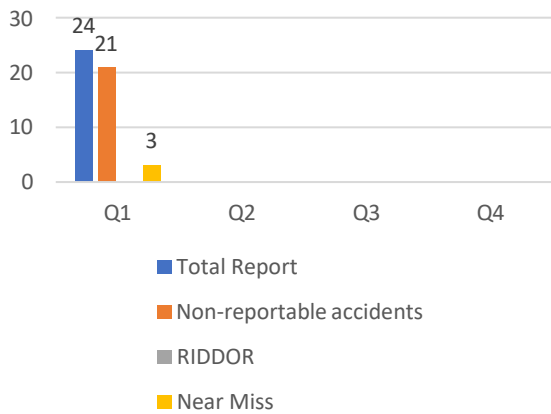
Employee Reports - Reporting Teams



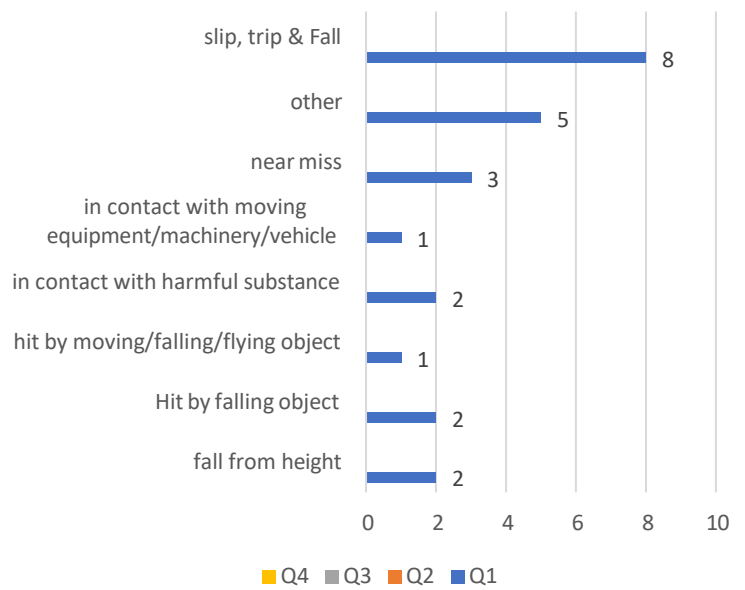
4.0 Member of the Public Reports Q1 2024 - 2025

	Q1	Q2	Q3	Q4
Total Reports	24 (8)	(9)	(15)	(16)
Non-reportable	21 (5)	(5)	(9)	(7)
RIDDOR	0 (0)	(0)	(0)	(0)
Near Miss	3 (3)	(4)	(6)	(9)

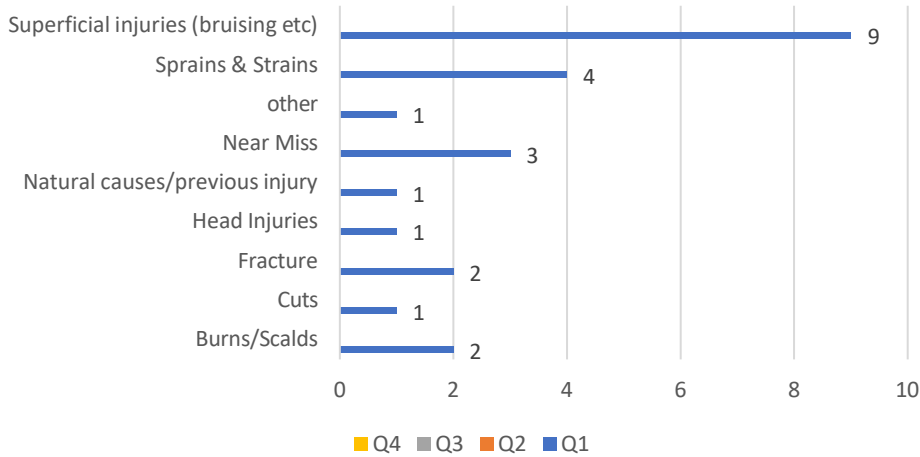
Member of the Public - All Reports



Member of the Public - Cause



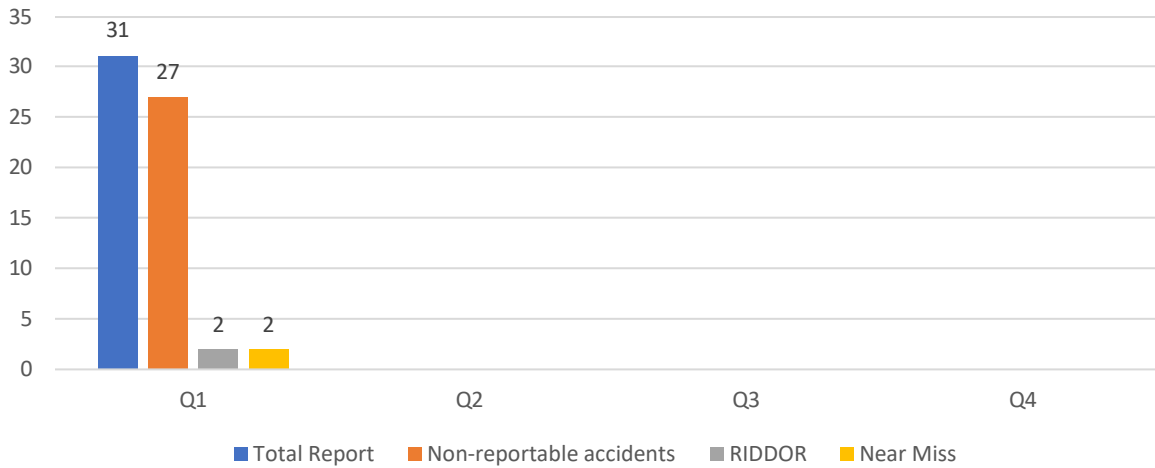
Member of the Public - Injury Types



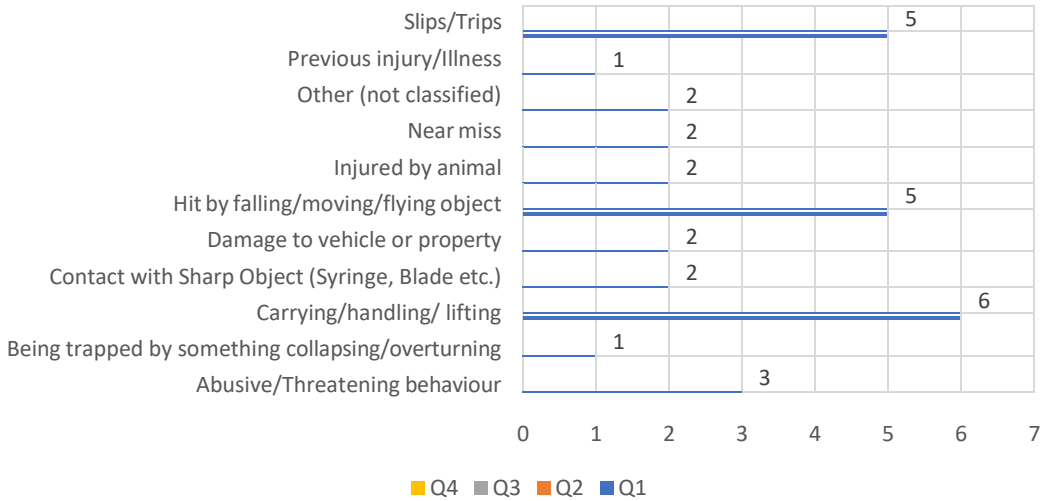
5.0 Place, Operations & Sustainability Q1 2024 - 2025

	Q1	Q2	Q3	Q4
Total Reports	31 (49)	(46)	(51)	(64)
Non-reportable	27 (21)	(20)	(22)	(27)
RIDDOR	2 (2)	(2)	(4)	(2)
Near Miss	2 (26)	(24)	(25)	(35)

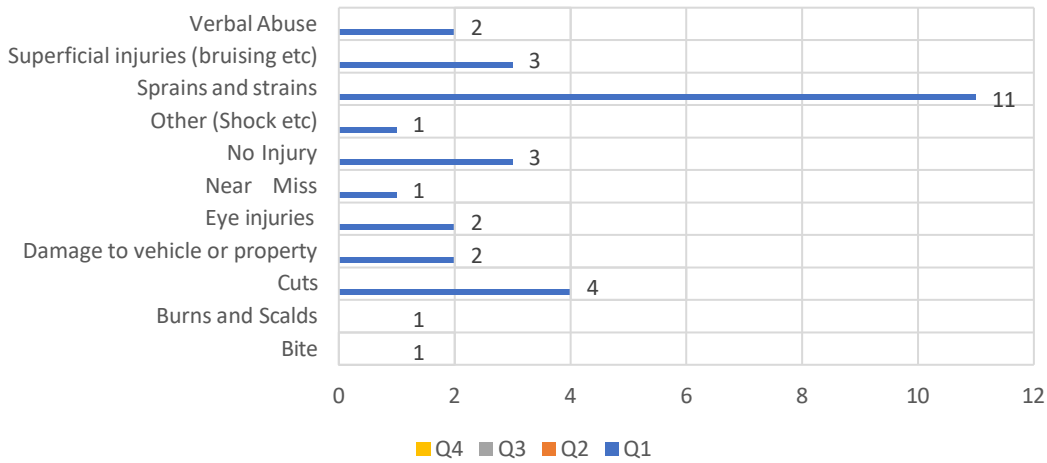
All Reports Q1 2024 - 2025



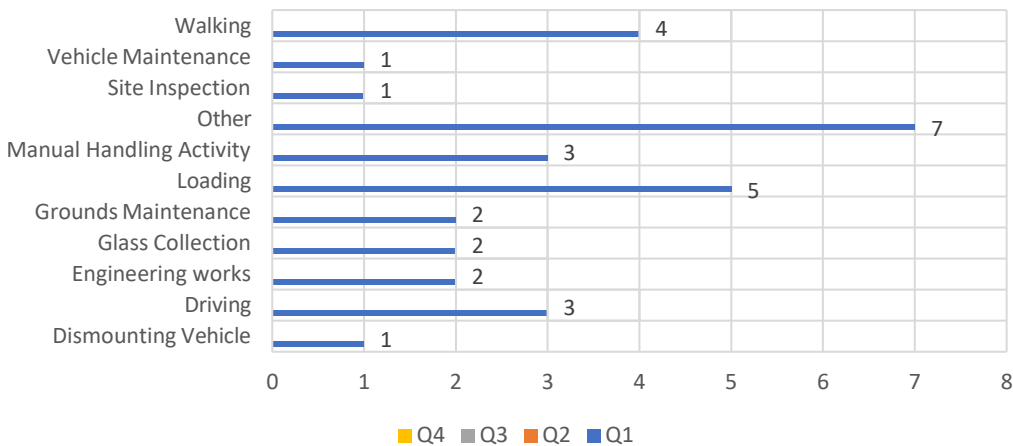
Cause Q1 2024 - 2025



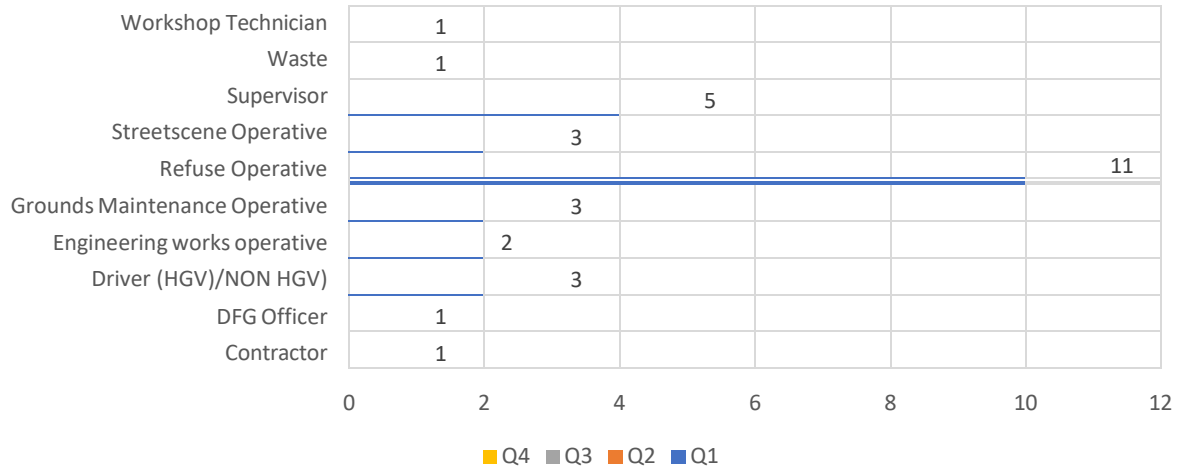
Injury Type Q1 2024 - 2025



Activity Q1 2024 - 2025



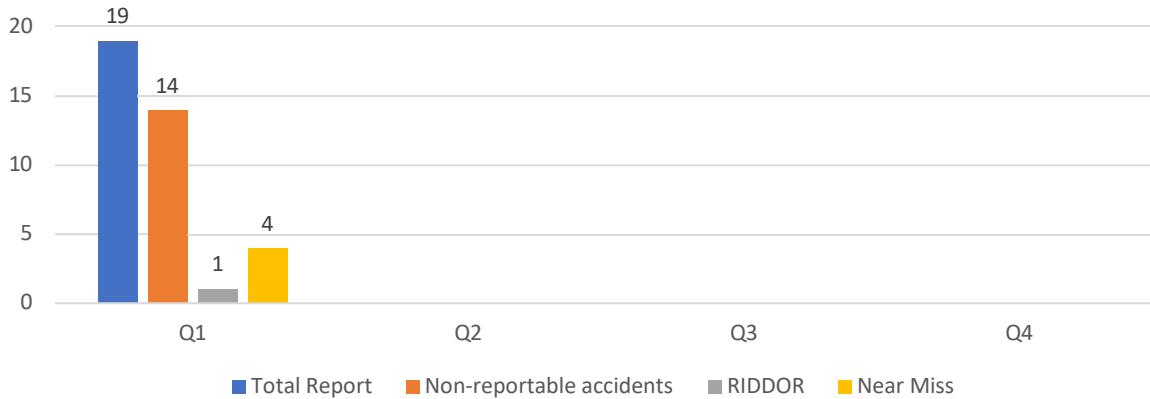
Reporting Teams Q1 2024-2025



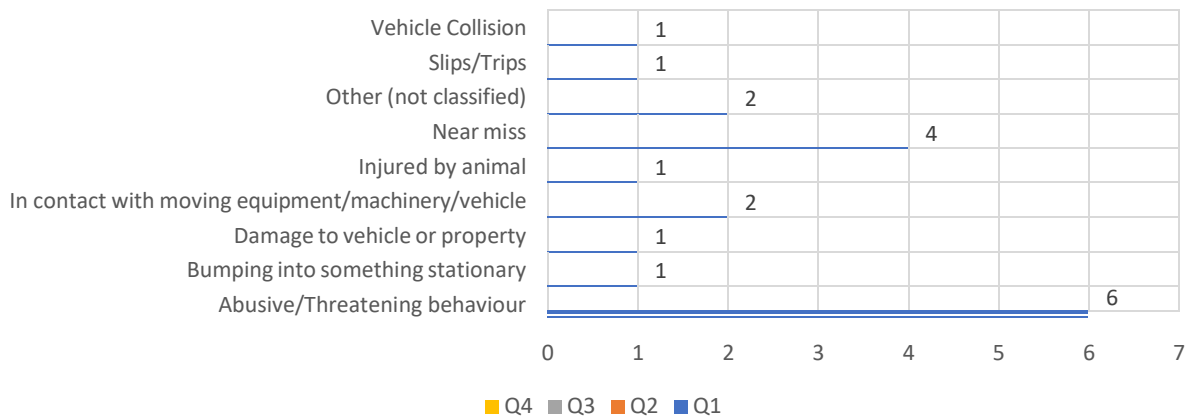
6.0 Housing & Communities Q1 2024 – 2025

	Q1	Q2	Q3	Q4
Total Reports	19 (9)	(13)	(10)	(16)
Non-reportable	14 (6)	(11)	(6)	(7)
RIDDOR	1 (0)	(0)	(1)	(0)
Near Miss	4 (3)	(2)	(3)	(9)

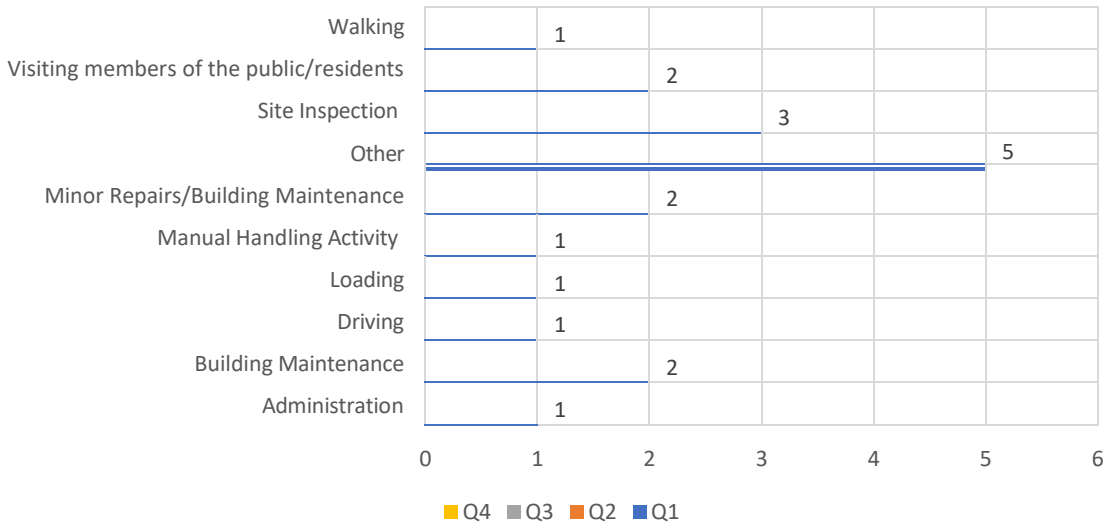
All Reports Q1 2024-2025



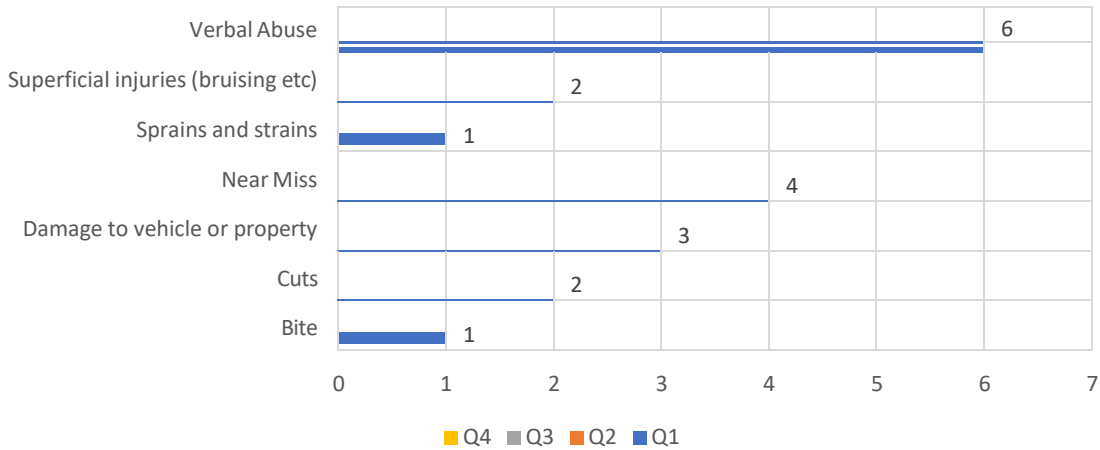
Cause Q1 - 2024 - 2025



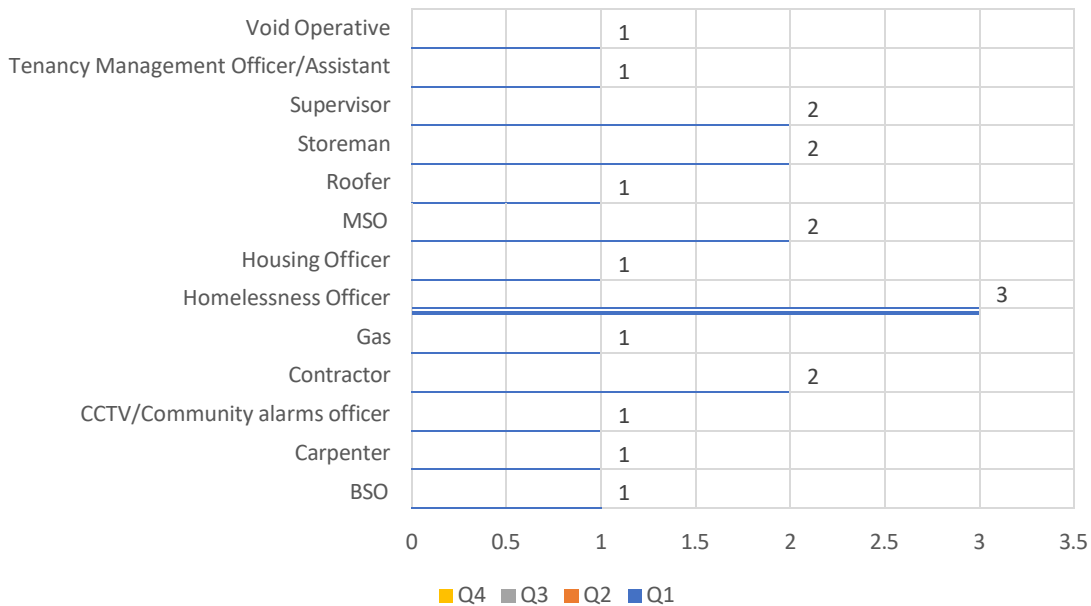
Activity Q1 2024 - 2025



Q1 Injury Type 2024 - 2025



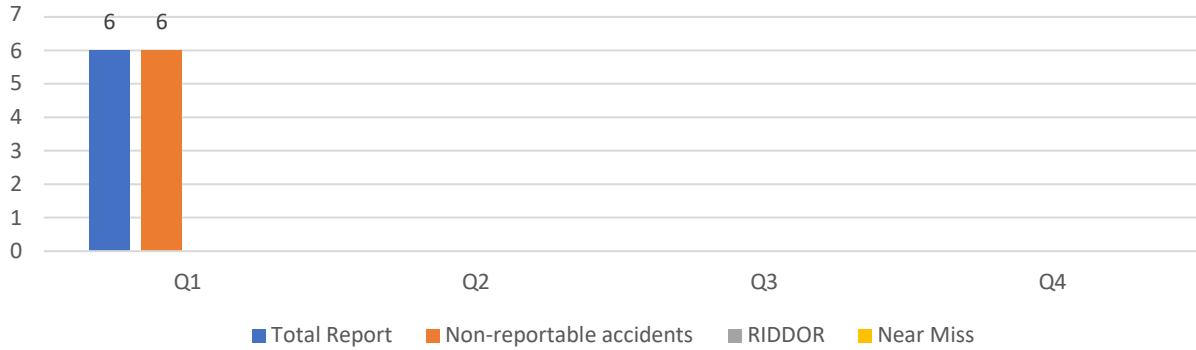
Reporting Teams 2024 - 2025



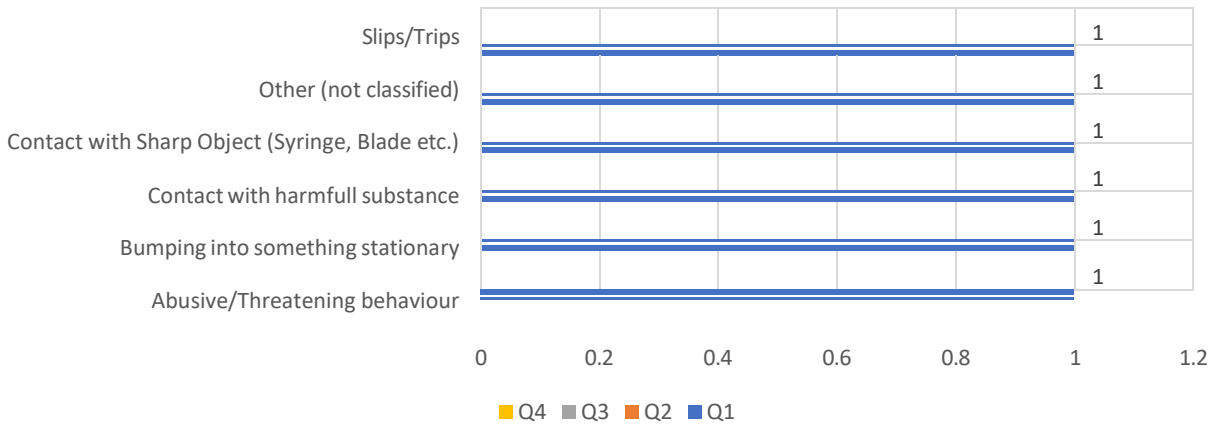
7.0 Corporate Resource & Transformation (including Governance) Q1 2024 – 2025

	Q1	Q2	Q3	Q4
Total Reports	6			
Non-reportable	6			
RIDDOR	0			
Near Miss	0			

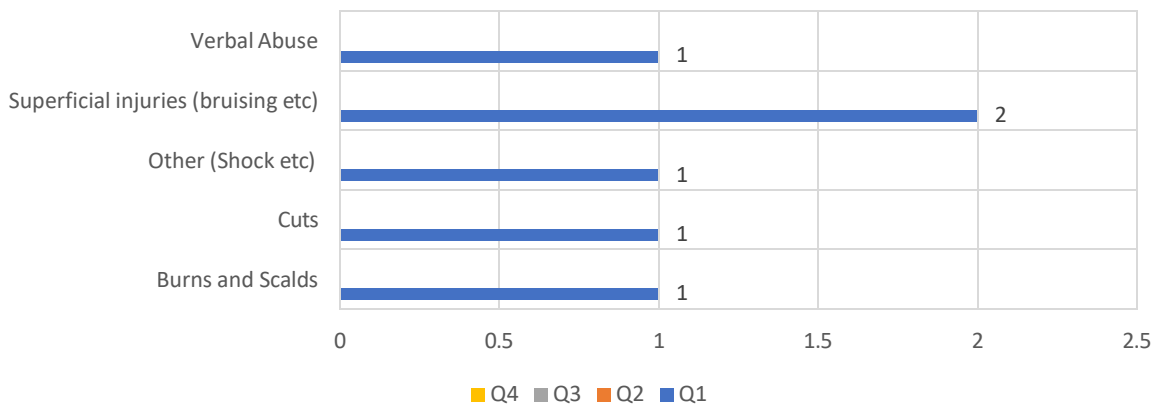
Overall Reports Q1 2024 - 2025



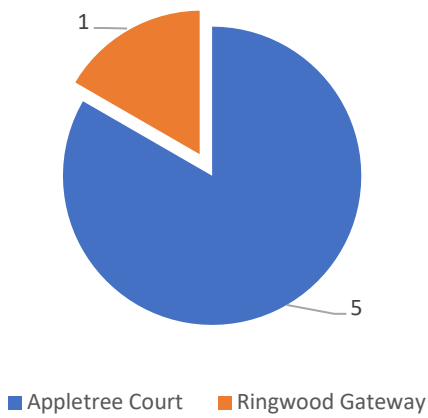
Cause Types Q1 2024 - 2025



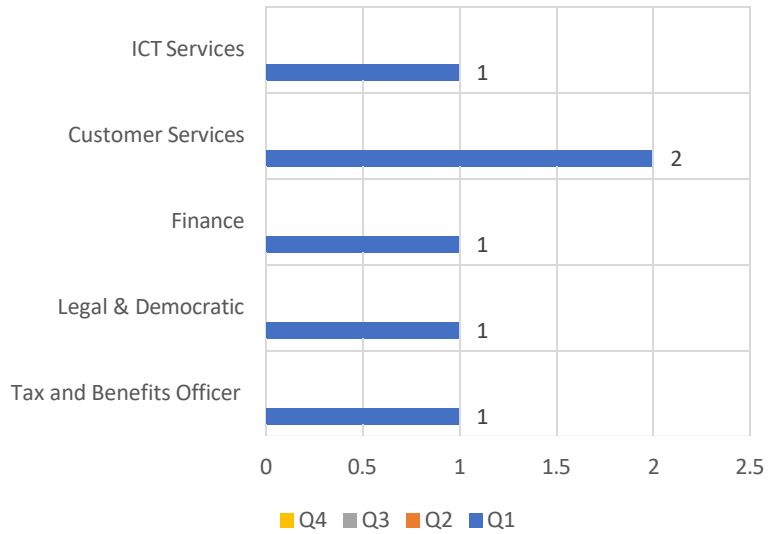
Injury Type Q1 2024 - 2025



Incident/Accident Location Q1 2024 - 2025



Reporting Teams Q1 2024 - 2025



8.0 Trends



Increase in the total number of reports this quarter compared to this time last year



Total number of 3 RIDDORs reported this quarter



Large reduction in the number of near miss reports received



Total of 71 days lost (at the time of this report)



Verbal/abusive behaviour the top reported cause this quarter (employee reports)



Waste and recycling continue to be the top reporting team



Large increase in the number of member of the public incident reported, this has been a trend for the previous 4 quarters



Reduction in the total number of accident/incident report send from Place, Operations & sustainability



Refuse operative continues to be the top reporting team/role



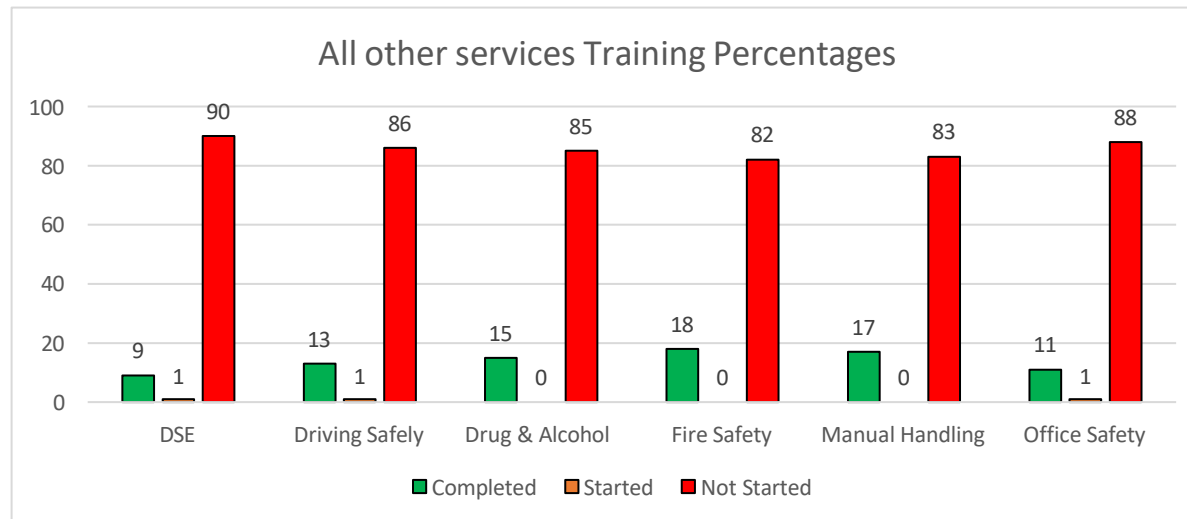
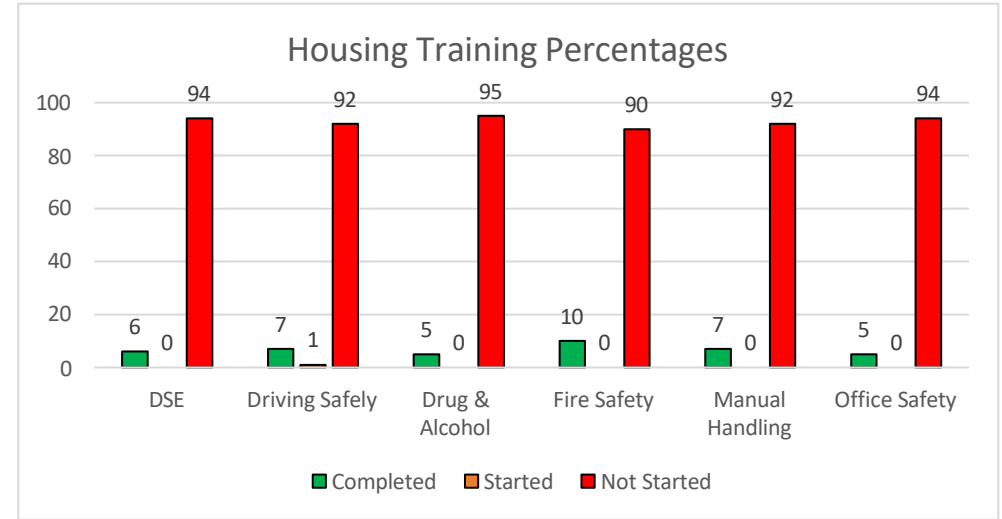
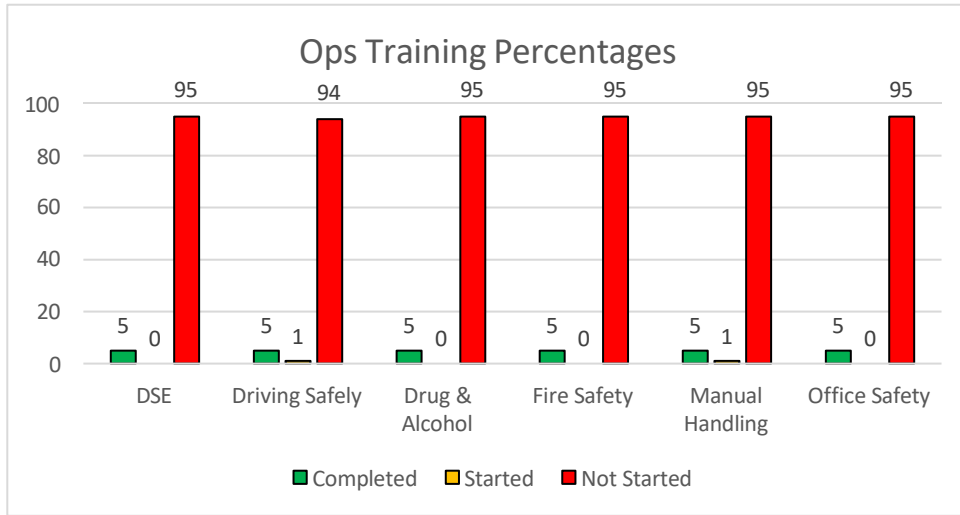
Verbal Abuse is the top reported cause this quarter

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Health and Safety E-Learning Report Q1 2024 – 2025

Report taken 24th June 2024.

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