

LONE WORKING

Corporate Health and Safety Arrangement

October 2022

Contents

Summary	4
What is this document about?	4
Who is this for?	4
How does the University check this is followed?	4
Who can you contact if you have any queries about this document?	4
Introduction.....	6
Scope	7
Responsibilities.....	7
University Executive Board.....	7
Corporate Health and Safety	7
Deans, Directors, Associate Directors and Heads	8
Senior Managers and Managers.....	8
Health and Safety Coordinators	10
Employees/Students	11
Arrangements.....	12
Training Requirements	14
Monitoring Compliance.....	15
Legislation.....	15
Associated University Documents.....	15
Associated Arrangements	16
Health and Safety Executive Documents	16
Appendix 1.....	17
Moving and Handling Quick Reference Flow Chart.....	17

Document title		
Lone Working Arrangement		
Document author and department		
Laura Cowper, Corporate Health and Safety		
Approving body		
Health, Safety and Wellbeing Committee		
Date of approval		
31 st October 2022		
Review date		
3 yearly or earlier if required		
Edition no.		
1		
ID Code		
UOP-CGHS-P-10		
Date of effect		
1 st November 2022		
EITHER For public access online (internet)? <i>Tick as appropriate</i>		YES
For public access on request copy to be mailed <i>Tick as appropriate</i>	NO	YES
OR For staff access only (intranet)? <i>Tick as appropriate</i>		YES
Password protected <i>Tick as appropriate</i>	NO	YES
<p>External queries relating to the document to be referred in the first instance to Corporate Health and Safety: email hsservicedesk@port.ac.uk</p> <p>If you need this document in an alternative format, please email hsservicedesk@port.ac.uk</p>		

The latest version of this document is always to be found at:

<https://staff.port.ac.uk/departments/services/corporategovernance/healthandsafety/workplaceworkequipment/manualhandling/>

Summary

What is this document about?

This lone working arrangement is designed to secure a healthy and safe environment for everyone who undertakes lone working as a part of their employment, study, visit or business at the University and to ensure compliance with current legal requirements. It is intended for all staff and students as well as visitors and contractors, required to engage in lone working activities whilst on University owned or controlled property or off-campus on University related activities. Lone workers should not be at more risk than other employees. Precautions should take account of normal work and foreseeable emergencies, fire, equipment failure, illness and incidents. It is essential that local lone working procedures are kept under review to consider changes in work patterns and lessons learnt from incidents.

Who is this for?

This arrangement sets out the intention to ensure the safety of staff lone working whilst undertaking duties on behalf of the University. It applies to all staff, including contract, temporary, agency workers and students. There is an expectation that staff will adhere to this arrangement and contribute to their personal safety and the safety of others.

How does the University check this is followed?

Corporate Health and Safety monitor University activities to ensure compliance with legislation, best practice, policies, arrangements and procedures. The University monitors health and safety performance in a number of ways. Active methods monitor the design, development, implementation and operation of management arrangements. These tend to be preventive in nature. For example: inspections of premises, plant and equipment; health surveillance to prevent harm and auditing to ensure effective implementation of arrangements. Reactive methods monitor evidence of poor health and safety practice but can also identify better practices that may be transferred to other parts of the University. For example: investigating accidents and incidents and monitoring cases of ill health and sickness absence records.

Who can you contact if you have any queries about this document?

Any questions about this arrangement should be directed to the [Corporate Health and Safety Team](#).

Introduction

Lone working does not necessarily mean that the worker (or student) is at greater risk than those not working alone. However, a risk assessment should be completed and if the worker may be at greater risk and suitable control measures must be put in place.

A lone worker is 'someone who works by themselves without close or direct supervision'. They exist in all sectors and include those who:

- work alone at a fixed base, for example in laboratories, offices, lecture theatres, seminar rooms, shops, petrol stations, factories, warehouses or leisure centres;
- work separately from other people on the same premises or outside normal working hours, for example, researchers, security staff, cleaners, maintenance and repair staff;
- work at home;
- work away from a fixed base

Staff and/or students are considered to be working alone if they have neither visual nor audible communication with someone who can summon assistance in the event of an incident. This includes those who knowingly or foreseeably work by themselves without close or direct supervision. This can also include working at a fixed base or mobile.

Some examples of lone working include, but are not limited to:

- Working alone on or off campus, in or out of normal working hours
- Undertaking field work alone within the UK or abroad
- Travelling alone or abroad on University business
- Undertaking research with participants in their own homes, non-University workplaces or in a public place alone
- Home workers
- Visiting landlords, other employers' premises or community groups alone
- Contractors working alone in plant rooms

Staff and/or students are considered to be working out of hours if they are working outside normal building opening times. These vary during term time and out of term time. Information on specific arrangements can be obtained from Estates and Campus Services. If staff are lone working out of hours, please also see the [Out of Hours Arrangements](#).

Scope

This arrangement shall have effect with a view to protecting staff and students against a risk to their health and safety, whether immediate or delayed, arising from Lone working. The Health and Safety at Work etc. Act and the Management of Health and Safety at Work Regulations apply in all University premises and work situations where it is deemed to be in connection with the University.

Non-compliance may lead to formal action being taken under the relevant University's disciplinary procedures.

Responsibilities

University Executive Board

Areas of responsibility in relation to the senior team i.e. University Executive Board, Board of Governors and associated committees are defined in the University Health, Safety and Wellbeing Policy. This arrangement forms part of the University's Health, Safety and Wellbeing Policy and should be read in conjunction with the Health, Safety and Wellbeing Policy which outlines senior responsibilities. In particular the following responsibilities are specific to this arrangement:

Corporate Health and Safety

Corporate Health and Safety are responsible for ensuring:

- 1.1. The lone working arrangement is reviewed at appropriate intervals.
- 1.2. Monitoring the management of risks associated with Lone Working.
- 1.3. Advice and guidance is provided to managers, employees and students regarding lone working.

- 1.4. Incidents are appropriately reviewed and investigated by a competent person. Providing support, advice and guidance where necessary to identify root causes and lessons learnt to prevent reoccurrence.
- 1.5. Liaising with the local police in the event of an incident where lone working was a factor.
- 1.6. Assisting managers to appropriately manage the risk of lone working.
- 1.7. Advise the organisation on system processes and procedures to improve personal safety, including appropriate and proportionate technology and support systems.
- 1.8. Ensuring any technology used to protect lone workers meets legal requirements.

Deans, Directors, Associate Directors and Heads

Deans and Heads are responsible for ensuring:

- 1.9. This arrangement is effectively implemented in their areas of responsibility.
- 1.10. Lone Working risk assessments are carried out where appropriate which are suitable and sufficient and documented with appropriate actions agreed to address identified risks.
- 1.11. Systems, processes and resources are in place and monitored to effectively manage lone working that cannot be avoided in accordance with this arrangement.
- 1.12. All employees are aware of their responsibilities in relation to Lone Working.
- 1.13. Appropriate controls are put in place to manage hazards at source in line with the General Principles of Prevention ([**Schedule 1 of The Management of Health and safety at Work Regulations 1999**](#)).

Senior Managers and Managers

Senior Managers, Managers and Supervisors are responsible for ensuring they are familiar with and adhere to this arrangement and Health and Safety Executive (HSE) Guidance ([**INDG73**](#)) and in summary must ensure that:

- 1.14. Safe systems of work and appropriate supervision, support, contact, training and security arrangements are developed for those members of staff who work alone.
- 1.15. The identification, through a risk assessment approach, of members of staff who fall within the definition of lone workers and those that work in isolated situations. In line with Regulation 3 of the Management of Health and Safety Regulations, a risk assessment is required for any activity

where there is a significant risk of harm occurring. An assessment should, therefore, be completed for any situation, where members of staff may become lone workers. The risk assessment will need to take account of both physical and emotional factors that are likely to arise. All risk assessments will be documented.

- 1.16. As part of the risk assessment, they review the acceptability of lone working in isolated premises, the length of time where members of staff work alone, the cover for breaks and hand-over etc. They will also review how members of staff respond to a violent incident.
- 1.17. The identified lone worker has no medical condition, which could put them at an increased risk. Pre-employment health screening should address this issue as part of the recruitment process.
- 1.18. The person carrying out the task forms part of the risk assessment to ensure their suitability for what is expected of them.
- 1.19. Will ensure the findings from any risk assessment are communicated to their teams.
- 1.20. Significant risks are escalated to Faculty committee level.
- 1.21. Written policies, procedures and risk assessments are:
 - Available at all times.
 - Reviewed and, if necessary, updated, whenever there is a change in circumstances or at least annually.
- 1.22. Members of staff are aware of the arrangements they must make for themselves or for staff under their day to day supervision to fit the particular circumstances that arise. Such arrangements should ideally be recorded at the time they are devised.
- 1.23. Sufficient information has been given to enable their staff to recognise the hazards and appreciate the risks of working alone. Where safe working procedures are laid down, the workers must follow these.
- 1.24. Clear procedures to see the limits to what can and cannot be done while working alone are established. They should specify how to behave in circumstances, which are new, unusual or beyond the scope of training, e.g. when to stop work and seek advice from a supervisor.
- 1.25. All members of staff have suitable and sufficient training in the Health and Safety requirements of working alone or in isolated situations, as they relate to their particular job.
- 1.26. All members of staff (especially if newly employed) are aware of their personal responsibilities under Health and Safety Legislation and their duty of care to others.
- 1.27. All members of staff follow signing in / out arrangements in buildings, for which they have

responsibility.

- 1.28. Wherever practicable, regular visits are made to ensure the health and safety of the person working alone.
- 1.29. All members of staff are provided with all the necessary protective equipment and clothing, e.g. head / eye protection, gloves.
- 1.30. Plant, equipment and tools are not defective, are regularly maintained, in accordance with manufacturer's instructions, and that this is evident by means of maintenance logbooks or similar records.
- 1.31. Lone worker risk assessments are obtained from contractors / subcontractors working on University premises before work commences. In the event of an incident, a support mechanism is available for members of staff.
- 1.32. All incidents / accidents / near misses and subsequent remedial actions are appropriately recorded and investigated, in accordance with the University's policy and, where appropriate and escalated.
- 1.33. Following a serious incident, support is offered to the member(s) of staff involved. This may include, as appropriate:
 - A debriefing meeting to establish the details of what happened and to provide emotional support to the person involved.
 - Making arrangements for staff to access confidential counselling via the Occupational Health Department and Human Resources.
- 1.34. Where appropriate, the person working alone is provided with a means of communication in the event of an emergency.

Health and Safety Coordinators

Health and Safety Coordinators are responsible for:

- 1.35. Keeping up to date with the requirements of legislation and University policies/arrangements to promote a positive health and safety culture within their area of responsibility.
- 1.36. Referring health and safety issues promptly to the relevant Head of Department or Manager. If the problem cannot be resolved locally on a timescale commensurate with the risk then the matter must be referred to the Corporate Health and Safety Team.

- 1.37. Disseminating the necessary information, instruction and training to enable departmental, school staff and students to perform their work in a safe manner and encourage and support their attendance at relevant University and external safety training events.
- 1.38. To assist staff with the preparation of lone working risk assessments in liaison with the Corporate Health and Safety Team.
- 1.39. To assist the Corporate Health and Safety Team with health and safety inspections and audits.
- 1.40. Assist with incident reporting, investigations and compliance with health safety and wellbeing committee recommendations.
- 1.41. In the absence of the Pro Vice Chancellor, Dean, Head of Department or Manager, act with the delegated authority to suspend or stop any dangerous activity not carried out within the requirements of the University Health and Safety Policy.

Employees/Students

All University employees and students must ensure that:

- 1.42. They comply with instruction, information and training which is provided.
- 1.43. Their own or others health and safety is not put at risk when working in isolation and to take due care.
- 1.44. Participate in any mandatory training, which the University makes available.
- 1.45. Undertake or participate in risk assessment relating to lone working.
- 1.46. Familiarise themselves with the policies and workplace procedures for preventing and dealing with situations which could lead to e.g. aggression or violence, etc. may occur.
- 1.47. Ensure that someone knows where they are, i.e. manager, supervisor, colleagues, family member etc. and their expected time of return.
- 1.48. Always use any signing in / out arrangements at their place of work and at other sites.
- 1.49. Inform appropriate people of any unexpected change of plans, especially evening meetings / visits.
- 1.50. Ensure that they can be contacted throughout the duration of working in isolation, e.g. by pager, mobile telephone or landline. If an employee is in an area with known mobile phone reception problems, they should notify their manager of this, giving an estimated length of time for the visit. The employee should then confirm their safety, with the local manager, as soon as they are able (i.e. when reception returns), to prevent the triggering of an agreed escalation procedure.

- 1.51. When parking, choose well-lit areas and park so that a quick exit can be made, if necessary.
- 1.52. Whenever possible, conceal equipment and valuables.
- 1.53. Report any problems or shortcomings, which arise from policies, procedures and risk management guidelines, in place to control risks, to the line manager.
- 1.54. Report all incidents and near misses, difficulties or risks raised from lone working, however minor, to his / her line manager, even if he / she does not wish further action to be taken. Failure to report an incident or near miss may put others at risk.
- 1.55. Immediately report incidents and near misses of violence, harassment or intimidation to his / her line manager and, if appropriate, the police.
- 1.56. Inform their line manager of any medical condition which could put them at increased risk from working alone.

Arrangements

The process of completing a lone working risk assessment is no different to any other risk assessment. However, the specific assessment should include the individual, location and the processes being followed and the work being carried out. It should be ensured that the lone worker does not have a medical condition that could place them at an increased risk. Advice should be sought from Occupational Health, where required.

Lone workers should receive adequate training, particularly as there will be no supervision or possible help with difficulties or incidents. Clear, safe working procedures must be written detailing what can, and equally cannot, be carried out when working alone. Whilst lone working is defined as working without supervision, the lone worker still needs to be monitored. There are a number of ways this can be achieved and arrangements should be detailed within the risk assessment. Examples of monitoring can include periodic visits to the lone worker (at agreed intervals), maintaining contact (at agreed intervals) by phone or email, signing in/out software or automatic warning devices that raise an alarm after a set period of inactivity. As well as having defined monitoring procedures detailed within the risk assessment, contingency plans in the event of an emergency must also be detailed.

The physical location of the worker should be risk assessed. This should include security, access and travel to and from the location which will also need to be monitored. This could include reporting when you have reached your destination, and/or regular contact at agreed intervals. When reviewing the risks associated with the process or work to be carried out, factors to take into consideration are whether the process can be operated with a lone worker. It is important that workers are not placed at a greater risk than if they were not lone working. The risk assessment should be a collaborative undertaking, involving both the worker and their line manager/supervisor.

Following the completed risk assessment, the safe working procedures should be communicated to the lone worker(s) and to any other employees who have a role to play in ensuring their safety.

It is important that control measure put in place are monitored and reviewed to ensure they remain fit for purpose. It is essential that risk assessments are reviewed periodically and/or when a relevant procedure, process or task changes significantly so the risk assessment and any associated control measure can be updated.

Lone working must not take place on University premises in the following situations unless a suitable and sufficient risk assessment can fully justify the way in which the work is being undertaken and steps can be taken to adequately control the risks. The assessment must be approved by the Head of School / Service:

- Entry into **confined spaces** where there may be a risk of asphyxiation, contact with hazardous substances, fire or explosion risk etc.
- Use of **dangerous machinery** where there is a risk of entanglement, entrapment, crushing, impact or injury from cutting or shearing, stabbing or puncture (i.e. equipment found in engineering workshops and some food preparation areas, the use of which involves access to unguarded moving parts, for example during maintenance and repair, or setting up)
- Work on or near **live uninsulated electrical** conductors.
- **Work on roofs**, use of suspended access equipment
- Out of hours work in access is restricted areas to named individuals.

Lone working must be considered as part of routine risk assessments for the following activities;



- Work in laboratories involving flammable, highly flammable or extremely flammable liquids, flammable gases, asphyxiants, toxic substances and corrosive substances, biological agents and any chemicals that present a risk to health.
- Work at height using ladders, stepladders, etc.
- Work involving the movement of cash or other valuables

In many situations e.g. typical office work, the risks of lone working are no greater than being alone at home, and can take place without additional precautions or with minor adjustments to working practices. In offices, for example, the risk of injury is very low. The main perceived risk may be to personal safety and security, either from intruders in the building, or from walking alone to the car park or public transport, particularly if this is late at night or in the dark. Basic precautions can be taken, such as locking the office door, arranging to walk to the car park with a colleague, keeping to well-lit areas, not taking short-cuts.

Other situations where lone working may arise include staff undertaking home visits and staff visiting off site facilities. The principles of risk assessment also apply to these situations.

For contractors who may engage in lone working activities on University controlled property, please refer to the Estates and Campus Services [Health, Safety and Environmental Guidelines for Contractors](#).

Staff and students undertaking field work within the UK or abroad must follow the [Fieldwork Guidance](#).

Staff and students wishing to access University owned or controlled buildings outside of normal working hours must complete the University Out of Hours Access process and comply with the [Out of Hours Arrangements](#).

Training Requirements

For details on how to access any health and safety related training or to book on to a course please email hsservicedesk@port.ac.uk.

Monitoring Compliance

Element to be monitored	Lead	Tool	Frequency	Reporting Arrangements
Responsibilities as per arrangement	Line Manager(s)	Lone Working Arrangement Health and Safety Executive INDG73 PDR Process (1-2-1s) Auditing and inspection Risk Assessment	Ongoing On intervention Annually As per program Determined by risk	Faculty Health, Safety and Wellbeing Committee(s) Corporate Health, Safety and Wellbeing Committee Escalation via management
Arrangement Suitability and Effectiveness	Corporate Health and Safety	Audit and Inspection Programs, Staff News, H&S Newsletters, Communications. Risk assessments and incident reports.	Periodically at least every three years or following a significant change or incident.	Corporate Health Safety and Wellbeing Report. Audit Reports. Incident Reports.
Arrangement Implementation	Corporate Health and Safety	Staff News, H&S Newsletter, Email to H&S Coordinators. All details including risk assessment and trolley tagging procedure are covered in the training provision.	When arrangement has been approved by the University Health Safety and Wellbeing Committee. Ongoing.	Faculty Health, Safety and Wellbeing Committee(s) Corporate Health, Safety and Wellbeing Committee Escalation via management
Incidents and complaints	Senior Manager/Managers in conjunction with Corporate Health and Safety	Inspections, incident reviews and investigation. Risk Register(s)	When reported; ad-hoc and periodically when necessary.	Escalate concerns through Faculty Health and Safety Committee or directly with Corporate Health and Safety for Professional Services.

Legislation

- [Health and Safety at Work etc. Act 1974 \(HSWA\)](#)
- [The Management of Health and Safety at Work Regulations 1999](#)
- [Protecting Lone Workers INDG73](#)
- [Provision and Use of Work Equipment Regulations 1998 \(PUWER\)](#)
- [Lifting Operations and Lifting Equipment Regulations 1998 \(LOLER\)](#)

Associated University Documents

- [Risk Assessment](#)
- [Lone Working Guidance](#)

Associated Arrangements

- [Accident Reporting](#)
- [First Aid](#)
- [Induction](#)
- [Job Hazards](#)
- [Risk Management](#)
- [Out of Hours](#)

Health and Safety Executive Documents

- [Protecting Lone Workers INDG73](#)

Appendix 1

Lone Working Quick Reference Flow Chart

