NHS
Castle Point and Rochford
Clinical Commissioning Group

LONE WORKER POLICY
CPRCCG CP11

Version:	4.0
Ratified by:	Joint Policy Assurance Group
Date ratified:	April 2018
Name of Director Sponsor:	Chief Finance Officer
Name of originator/author:	Local Security Management Specialist
Name of responsible committee/individual:	Audit Committee
Date issued:	April 2018
Review date:	April 2020
Target audience:	All CCG Staff

Contents

1. Introduction

This is the policy of NHS Castle Point and Rochford CCG (hereafter referred to as "the CCG") for ensuring that the risks associated with staff working alone are properly assessed and managed.

Although there is no general legal prohibition on working alone, the broad duties of the Health & Safety at Work Act 1974 and the Management of Health & Safety at Work Regulations 1999 still apply. These require identifying hazards of the work, assessing the risks involved and putting measures in place to avoid or control the risks.

Failure to implement this policy will place the CCG in breach of its duties under the aforementioned legislation.

2. Purpose

The purpose of this policy is to:

- Identify those with responsibilities for the management of lone working
- explain the CCG's statutory duty as employer to assess the risks to lone workers and take practical steps to avoid and control risks where necessary
- increase staff awareness of safety issues relating to lone working
- make sure that the risk of working alone is assessed in a systematic and ongoing way and that safe systems and methods of work are put in place to reduce the risk so far as is reasonably practicable
- make sure that appropriate training is available to all staff in all areas that equips them to recognise risk and provide practicable advice on safety when working alone
- encourage full reporting and recording of all adverse incidents relating to lone working
- reduce the number of incidents and injuries to staff related from lone working

3. Definitions

3.1   Lone Worker

The Health and Safety at Work Act 1974 defines a lone worker as 'those who work by themselves without close or direct supervision'. Examples of this are:

- Staff who visit member of the public homes e.g. visit to complainant
- Departments where staff work on extended hours / weekends
- Small departments located off main corridors
- Where the nature of the work requires the individual to work in isolated areas
- Staff delivering medication or diagnostic services during an **epidemic/pandemic emergency**

4. Roles and Responsibilities

4.1 NHS Castle Point and Rochford CCG Governing Body
The CCG Governing Body is responsible for receiving assurance that NHS Castle point and Rochford CCG has in place a robust system for meeting its statutory obligations around lone working.

4.2 Accountable Officer
The Accountable Officer is accountable for ensuring that NHS Castle Point and Rochford CCG complies with its statutory obligations with regard to DSE.

4.3 Chief Finance Officer
This postholder is the Executive Director with Governing Body-level responsibility for the health & safety aspects of lone working. She is responsible for providing assurance to the CCG Governing Body that the systems and processes in place meet the organisation's statutory obligations around lone working.

4.4 Head of Performance and Corporate Services
This postholder is responsible for reviewing and co-ordinating the implementation of this policy and keeping a corporate database of lone worker risk assessments completed.

4.5 Competent Person
This individual is responsible for providing qualified advice and support to the Head of Performance and Corporate Services with regard to lone worker risk assessment.

4.6 Local Security Management Specialist (LSMS)
The LSMS commissioned by NHS Castle Point and Rochford CCG will provide specialist advice and support regarding the security risks associated with lone working, including conducting specialist risk assessments where indicated.

4.7 Executive Directors and Managers
All Executive Directors and managers are responsible for:

- Ensuring that the Lone Worker Policy is effectively implemented in all areas within their control;
- Conducting lone worker risk assessments as applicable to their areas of responsibility and ensuring that specialist security risk assessments are conducted where required.

5. Policies and Procedures

5.1 Lone worker Risk Assessments

Risk assessments must be carried out in all areas of work where there are lone workers. Risk Assessments should be carried out by line managers with their staff where possible, should be recorded, evaluated at regular intervals and communicated to all who could be affected, identified by the risk assessment.

Establishing safe working arrangements for lone workers is no different from organising the safety of other employees, contractors and visitors. Lone workers should not be exposed to significantly higher risks than others who work together.

Precautions should take account of normal working conditions and foreseeable emergency situations e.g. fire, equipment failure, illness and accidents. When considering safe working arrangements, managers will follow a hierarchical system based on the following:

- Identify any possible risk/s
- Assessment of the seriousness of the risk
- Avoidance of the risk
- Control of the risk to the greatest possible degree

5.2 Lone Workers in Office Premises

Wherever possible staff should aim not to remain alone working in their work base after the premises officially close, but there are times when this is unavoidable. Where there is a situation where members of staff are in a lone working scenario, they should where possible ensure most / all of the following are adhered to:

- Ensure that they have control of the access to the building / room
- Only give access to others if they are sure they know who they are
- Check their access to a telephone
- Check on the means of escape from the building in an emergency e.g. fire doors and escapes
- Arrange appointments so that there are other people in the building at that time
- Keep valuables etc. out of sight
- If assaulted or threatened, contact the Police immediately on 999 or 101 (for non-emergency calls)
- If verbally abused or in receipt of an indecent telephone call, report the matter immediately
- Always let the cleaner know if you are staying behind in the office at the end of the normal working day. They will then know to check before they leave the building
- Outside of normal working hours - arrange for someone to ring them at a predetermined time to check they are all right
- Move their car closer to the building if necessary during the course of the day in order to minimise the risks of leaving the building on their own
- Not use lifts when they are on their own in a building, as they may become trapped inside and not be able to gain assistance
- Not repair or tamper with the controls of any equipment should a problem be discovered. Any issues relating to equipment should be reported as soon as is practicable

- In all instances, incidents must be reported using the CCG's incident reporting system (refer to the Adverse Incident Reporting and Investigation Policy)

Where it is expected that staff work 'after hours' there must be a system in place, enabling staff to make contact with the office or their Manager.

In an emergency, the CCG has a Director On-Call out of hours system in place and contact can be made through Tel: 07623 979358

5.3 Lone Workers visiting members of the public

- Ensure systems are developed and implemented regarding the recording of each lone worker visit including mode of contact, names and addresses of the individual being visited, times of appointments, order of visits and expected time of return
- Carry appropriate identification
- Lone working staff should consider carefully where their cars are parked, taking into account lighting, isolation, passageways, crime "hot spots" and remote locations etc.
- Advise work base of any changes that arise to the timetable and if for whatever reason the employee finds that they will not return at the expected time
- Report back to work base when visit/s are concluded
- In all instances, incidents must be reported using the CCG's incident reporting system
- Withdraw immediately if they feel at risk during a visit and complete an incident report.

5.4 Training

The CCG will provide relevant training to all staff who fall within the definition of "lone workers". This will primarily be conflict resolution training including an element of personal security awareness but more specific training will be provided where indicated through a lone worker risk assessment.

5.5 Legal Action

The CCG will seek to take legal action in all cases of physical violence and in specified cases of verbal violence if deemed appropriate, in line with the Directions to the NHS bodies on tackling violence against staff 2003 and guidance of 2004 issued by CFSMS

6. Monitoring compliance

This Policy will be monitored by the Quality & Governance Committee, taking into consideration expert health & safety / security management advice where necessary. The Director who has overall responsibility for monitoring the policy is the Chief Finance Officer.

7. Associated Documentation

This policy should be read in conjunction with other CCG policies, with particular reference to:

- Health & Safety Policy
- Health & Safety Risk Assessment Policy
- Violence & Aggression Policy
- Adverse Incident Reporting and Investigation Policy
- Security Policy
- Risk Management Strategy

8. References

Health & Safety at Work Act 1974
http://www.hse.gov.uk/legislation/hswa.htm

Directions to the NHS bodies on tackling violence against staff 2003 and guidance of 2004 issued by CFSMS (Department of Health)

http://www.nhsbsa.nhs.uk/SecurityManagement/Documents/lsms_nomination.pdf

Not Alone – A Guide for Better Protection of Lone Workers in the NHS(NHS Protect, 2005)

9. List of Stakeholders Consulted

Name	Designation
Local Security Management Specialist	Mazars

10. Equality Impact Assessment

NHS Castle Point and Rochford CCG is committed to carrying out a systematic review of all its existing and proposed policies to determine whether there are any equality implications.

This policy has been assessed using the CCG's Equality Impact Assessment framework which identified the following impact/s upon equality and diversity issues:

Age	Marital Status	Disability	Gender & Pregnancy	Race	Sexuality	Religion	Human Rights	Total Points	Impact
NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL	0	*NONE*

Points
3 – This area has a high relevance to equalities
2 – This area has a medium relevance to equalities
1 – This area has a low relevance to equalities

0 – This area has no relevance to equalities

<u>Scoring</u>
13-18 points – high impact
7-12 points – medium impact
0-6 points – low or no impact

11. Version Control

Version	Date Issued	Author Name and Title	Comments
002	26/09/13	Head of Performance and Corporate Services	
003	11/08/14	Head of Performance and Corporate Services	Local Counter Fraud Specialist contract details amended following transfer of service provision to Mazars
004	05/04/18 04/04/20	Head of Governance and Risk Management	Minor revisions by Local Security Management Specialist

APPENDIX 1 - Risk Assessment for Lone Workers

ASSESSMENT	
Department:	Location:
Employee name:	Date of assessment:
Risk Assessment carried out by:	Review date:

Main risk and issues of concern	Yes	No
Does the staff member work alone?	(1)	(0)
Does the staff member work out of hours?	(1)	(0)
Does the staff member meet with clients/patients in isolated locations (including client homes)?	(1)	(0)
When working away from base, does someone at base know who the staff member is visiting what time they intend to return?	(0)	(1)
Are there adequate emergency procedures and an effective means of communication should an incident occur?	(0)	(1)
Is the building secure?	(0)	(1)
Is there adequate access to the building?	(0)	(1)
Is there access to first aid if the staff member becomes ill or has an accident?	(0)	(1)
Will the staff member be working in confined spaces?	(1)	(0)
Are regular supervisor or colleague checks done during activities?	(0)	(1)
Are entrance security systems in use (e.g. swipe cards)?	(0)	(1)
Is there security lighting around access points?	(0)	(1)
Are panic buttons linked to manned locations?	(0)	(1)
Are reporting AND checking-in systems in place?	(0)	(1)
Are staff trained on basic personal safety?	(0)	(1)
Are staff trained in strategies for preventing and managing violence?	(0)	(1)
Do staff have access to forms for reporting incidents or near misses and appreciate the need for this process?	(0)	(1)

Now total up the scores from the questions above to ascertain the overall level of risk appropriate to the lone worker :

Total = _____

Score	Level of Risk	Timescale for next scheduled lone worker risk assessment and follow-up required
0.-4	Low	One year
5-10	Medium	Six months
11-14	High	Three months – seek advice on reduction of risk from Corporate Governance Team, consider changes to working practices
15-17	Extreme	Seek immediate advice on reduction of risk from Corporate Governance Team and LSMS as immediate changes to working environment/practices may be necessary

Action Plan to Manage the Risks

Action Plan to Manage the Risk				
(Consider what needs to be done to reduce the level of risk identified overleaf, being as specific as possible. Examples might be provision of staff training, improving security, changes to working practices, calling estates to repair something)				
What needs to be done?	Who will do it?	By when?	What could prevent this happening?	Date action completed
Implement lone worker buddy system	Michelle Angell	June 2014	N/A	