1. Introduction and key principles

1.1 Status and purpose
This is one of several procedures and guidance documents that support the University’s Health, Safety and Wellbeing Policy. This document sets out some of the University requirements around lone working and provides guidance on assessment and management of activities where staff, or research students may be working alone and physically isolated from others. Its purpose is to ensure that systems are devised and implemented to support the commitment made by the University of Glasgow (UoG) to protect those who are required to work by themselves for significant periods of time from the risks associated with working alone.

1.2 Legal background
The Health and Safety at Work etc Act 1974, Section 2, places a legal duty upon employers to ensure the health, safety and welfare of employees whilst at work, so far as is reasonably practicable (this is a legally defined term - see later definition.) Although lone working is not specifically mentioned in the Act, and there is no specific legislation in respect of working alone, it is a risk that must be considered as part of the University’s general safety duties.

The Management of Health and Safety at Work Regulations 1999, require that every employer makes a “suitable and sufficient” assessment of foreseeable risks that employees might face in the course of their duties. Lone working is one such foreseeable risk and so must be considered as part of the general risk assessment process.

1.3 What is “lone working”?
A definition of “lone working” is given is Section 3. This includes those who work away from the University, perhaps through travel or fieldwork activities, but also those who work on their own within University buildings or other workplaces. This may by either in a remote part of a building during normal working hours or may involve out-of-hours work whether routinely, or when responding to an emergency.

Many people may work without immediate and direct contact with colleagues but will have colleagues relatively close by within the building. This is not typically considered to be lone working within the terms of this guidance. However, the degree of isolation, duration of isolation and the physical risks inherent in the work do have to be taken into accounts and should form part of a risk-based judgement on this.

Circumstances where a building has an abnormally low occupancy may also create a lone working situation where that has not been the case previously. Current Covid-19 related occupancy restrictions are one example of where such a situation may arise.

1.4 Risk assessment
As is normal safety management practice, potential hazards associated with lone working must first be identified and the risk associated with them should then be assessed. This process, and the conclusions arising from it, will usually need to be recorded within a formal risk assessment document.

As part of the risk assessment process, safe working arrangements for all those considered to be lone workers must be identified and appropriate control measures put in place to manage
the risks. The normal hierarchy of risk control should be followed, with lone working being eliminated, where practical.

Many people do work alone in their normal day-to-day activities, particularly the self-employed. As indicated above, lone working is not illegal; nor is it prohibited. Sometimes there is no reasonable alternative. However, it is both a legal requirement, and a University policy requirement, that where such work is necessary, the risks be identified and suitably managed.

Further guidance on the risk assessment process is provided within Section 4.

1.5 Assessing the likelihood of accident or health effects
Lone worker risk assessments should consider whether an increased likelihood of accident is created, simply due to working alone. This will depend largely on the tasks being undertaken. In many cases, there will be no increased risk of accident through working alone. An example of a situation where there may be no increased accident risk might be carrying non-hazardous office work.

Conversely, some work may create a greater likelihood of accident due to lone working. For example, if carrying out a task where the assistance of another person would normally be needed (e.g. lifting a heavy item, using a ladder or if there is a risk of attack, or violence.)

Where the task creates an inherently higher risk of accident, this should be clearly identified within the risk assessment. Tasks where there is an increased risk of accident should generally not be done while working alone. Where this isn’t possible, appropriate compensatory measures should be put in place to mitigate any identified increased risk.

Managers should also consider potential mental health aspects of lone working which can lead to staff feeling isolated from the usual work environment. See Appendices for further information.

1.6 Supervision, monitoring and emergency support
As there will normally be reduced direct supervision of work, high quality training is particularly important so that workers understand the procedures they should follow when working alone. Monitoring procedures will often need to be established to ensure that lone workers continue to follow required safe systems of work.

When working alone it is generally more difficult to get help if an incident does occur. This is typically the most significant risk associated with lone working and will be a key factor in virtually all situations where someone works alone, whether on campus or elsewhere. Particular attention must be given to how the lone worker will be monitored to ensure that they are fit and well during normal work and also how emergency support can best be provided if they suffer injury, ill health or concerns about their personal safety during the course of their work. The difficulties in obtaining help will usually be more challenging where the person is working in more isolated or remote locations.

1.7 Roles and responsibilities
Guidance on the roles, responsibilities and duties of the various levels of management across the University is provided within Section 3. This is necessarily and overview only. It is expected that duties will be delegated within Schools, Institutes and Services according to their local structures and that these local arrangements will be recorded within the unit’s safety documents and communicated to members of staff accordingly.
2. Roles and Responsibilities

The University Court has overall responsibility for decisions relating to University policy on health and safety. Responsibility for implementing policy lies with the Principal and the Senior Management Group with the support and guidance of the Convenor of the Health, Safety & Wellbeing Committee and the Director of Health, Safety and Wellbeing.

2.1 Heads of College, Heads of School, Directors of Research Institutes and Heads of Professional Services

Heads of College, Heads of School, Directors of Research Institutes and Heads of Professional Services are responsible for:

- Establishing departmental procedures to identify, eliminate or manage the risks associated with working alone;
- Ensuring that staff groups and individuals involved in lone working are identified;
- Ensuring that a system of risk assessment is in operation for lone working activities and that suitable risk control measures are being identified and implemented;
- Ensuring inclusion of any employee/ trade union safety representatives (if present) within local consultation processes.
- Ensuring that all reported incidents are fully investigated;
- Ensuring that appropriate support is given to staff involved in any incident;
- Managing the effectiveness of preventative measures through a suitable system of reporting, investigation and recording of incidents.

2.2 Line Managers (whether in Schools, Research Institutes or University Services)

Line Managers are responsible for:

- Ensuring that lone working activities under their management are identified and that suitable risk assessments for the work are carried out;
- Ensuring that the risk assessment is communicated to staff affected, that the control measures are realistically achievable and are understood by those involved;
- Ensuring that suitable control measures and procedures to eliminate or mitigate identified risks are put in place;
- Ensuring that all staff are given any necessary information, instruction and training;
- Ensuring that risk assessments for lone working are reviewed regularly, including discussion of its continued relevance effectiveness with those involved.

2.3 Employees

Employees are expected to co-operate and support the University in development and management of lone working procedures and in particular, are responsible for:

- Familiarising themselves with the lone worker risk assessments in place for activities they are involved in;
- Contributing to the preparation of lone working risk assessment for work with which they are familiar;
- Taking part in training designed to meet the requirements of this procedure.
- Following the procedures set out in risk assessment or elsewhere designed to achieve safe working;
- Reporting all incidents, (including any non-injury/near miss incidents)
3. Definitions

The following terms are used in this document and particularly within Section 4 where guidance on the risk assessment process is provided. Some have particular meanings as set out below.

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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</thead>
<tbody>
<tr>
<td>Lone Worker</td>
<td>“An employee whose work activities involve working time operating in situations without the benefit of interaction with other workers, or without any kind of close or direct supervision”. (Health &amp; Safety Executive)</td>
</tr>
<tr>
<td></td>
<td>It is recognised that most members of staff will spend short periods of their time working alone. However, for the purpose of this procedure, lone workers are those who work by themselves without close or direct supervision for longer periods such as:</td>
</tr>
<tr>
<td></td>
<td>• Employees working away from their base where their work may be carried out in e.g. client’s home and other University or business premises;</td>
</tr>
<tr>
<td></td>
<td>• Employees working alone in fixed establishments i.e. only one member of staff works on the premises, staff working separately from others, staff working outside normal hours; and</td>
</tr>
<tr>
<td></td>
<td>• Employees transiting between sites whilst on company business.</td>
</tr>
<tr>
<td>Hazard</td>
<td>Something which has the potential to cause injury, illness or harm.</td>
</tr>
<tr>
<td>Risk</td>
<td>Risk is the likelihood that a hazard will have an adverse outcome with a consideration of how bad the outcome is likely to be.</td>
</tr>
<tr>
<td>Risk Assessment</td>
<td>An overall process to identify risk and evaluate whether the risk is acceptable, or not, taking into account new/best practice.</td>
</tr>
<tr>
<td>Reasonably Practicable</td>
<td>The most practicable solution, taking into account cost, time and effort against the level of risk. High risk would warrant more money, time and effort to reduce the risk.</td>
</tr>
<tr>
<td>Severity</td>
<td>Most likely predictable consequence to the individual or organisation if the circumstances in question were to occur. (This should not automatically be assumed to be the most severe “worst case” scenario possible but should usually be taken as the most likely and realistic adverse outcome.)</td>
</tr>
<tr>
<td>Likelihood</td>
<td>Probability of an event occurring, wherever possible based upon the frequency of previous occurrences.</td>
</tr>
</tbody>
</table>
4. Guidance on lone worker risk assessment

Risk assessment is essential to good risk management, and must be carried out by competent persons – that is a person or group of persons with a good knowledge and understanding of both the work being carried out and the key features of risk assessment (see below) This also applies to specific risk assessments, including those conducted for lone working activities.

Lone work is work which is specifically intended to be carried out unaccompanied or without immediate access to another employee. It is not the same as the chance occurrence of finding oneself on one’s own. For example, in every workplace there is somebody who arrives first or leaves last, or an individual may need to go into an unoccupied storeroom.

Lone working can occur:

- During normal working hours at a remote location either within the normal workplace or during a domiciliary or other offsite visit; and
- When working outside normal working hours.

Departmental procedures need to take account of the possibility of both situations arising and should define what constitutes ‘normal working hours’. Flexible working hours are a valuable and necessary component of the working environment. However, the argument for working outside normal working hours should not be used to justify poor planning and undisciplined working arrangements. Wherever reasonably practicable, work should be contained within recognised working hours.

Working alone is specifically prohibited by law only in a small number of well-established dangerous situations, such as working with live electrical conductors, entry into confined spaces, etc. However, there is no general legal prohibition on lone working. It is the University’s responsibility is to ensure the health and safety of staff working alone and others affected by these activities.

Key features of risk assessment:

The process of conducting a risk assessment for lone working is no different to that followed when assessing more conventional activities. The important point is to carry out the assessment in the following way:

1. Identify the hazards associated with the work and carrying it out unaccompanied;
2. Assess the risks associated with the work and decide on the safe working arrangements to control these risks;
3. Record the findings of the assessment;
4. Implement the safe working procedures; and
5. Monitor and review the safe working procedure.

Further explanation of each of these steps is provided below.
4.1 **Identify the hazards associated with the work and carrying it out unaccompanied**

In most cases, the hazards associated with the task are likely to be the same whether it is carried out alone or accompanied, although the possibility of violence towards the lone worker may require to be considered.

Those carrying out assessments should therefore use the techniques they normally employ for hazard identification when considering the hazards of lone working.

4.2 **Assess the risks associated with the work and decide on the safe working arrangements to control the risk**

Although working alone may not introduce any new hazards, the risks may differ significantly when a task is carried out unaccompanied.

Assessments may need to be conducted on the following basis:

- Generically, to consider one particular range of activity; (e.g. routine cleaning work) or
- Individually, to consider the risks relating to a specific activity (e.g. a particular fieldwork trip)

Some of the issues that need special attention when evaluating the risks and planning safe working procedures are as follows:

**Can one person adequately control the risk?**

Lone workers should not be placed at more risk than other workers and extra control measures may be needed. Precautions should take account of normal work and foreseeable emergencies such as fire, equipment failure, illness and accidents. Those with responsibility for carrying out risk assessments should ask questions such as:

- Does the workplace present a special risk to the lone worker?
- Is there safe access and egress? (This may include the immediate local environment or the surrounding location, for instance in the case of remote work)
- Can one person safely handle any necessary temporary access equipment, such as portable ladders or trestles?
- If working off-site, are the welfare facilities adequate?
- Can one person safely handle all plant, substances and goods involved in the work?
- Is there a risk of violence?

These and other questions are contained in the Lone Worker Risk Assessment at Appendix 4.

**What training is required to ensure competency in safety matters?**

Training is particularly important where there is limited supervision to control, guide and help in situations of uncertainty. Training may be critical to avoid panic reactions in unusual situations. Lone workers need to be sufficiently experienced and be able to understand the risks and precautions fully. Managers should establish clear procedures and set the limits to what can and cannot be done while working alone. There should be an agreement as to the circumstances in which it is reasonable to stop work and seek advice. It is a management responsibility to ensure employees are competent to carry out the work unaccompanied and are competent to deal with circumstances that are new, unusual or beyond the scope of training.
How will the person be supervised?
Although lone workers cannot be subject to constant supervision, there is still a duty on the University to provide appropriate control of the work. Supervision complements the information, instruction and training provided and helps to ensure that staff understand the risks associated with their work and that necessary safety precautions are carried out. It also provides guidance in situations of uncertainty.

The extent of supervision required depends on the risks involved and the ability of the lone worker to identify and handle health and safety issues. The level of supervision required is a management decision which should be based on the findings of the risk assessments. The higher the risk, the greater the level of supervision required. Contact arrangements should be documented as part of the risk assessment.

Methods of supervision and periodic contact may include:
- Supervisors periodically visiting and observing people working alone;
- Supervisors maintaining contact with lone workers using either a telephone or radio or possibly e-mail or text as available.
- The use of signing in/out system; and
- Checks that a lone worker has returned to their base or home on completion of their tasks.

Contingency plans should specify the action to be taken if a pre-arranged contact cannot be reached, or if an alarm device is activated, and should be included as part of the risk assessment.

Is the person medically fit and able to safely work alone?
Medical fitness should not be a significant factor when considering typical office activities conducted outside normal hours. However, where a manager is aware that a lone worker has a medical condition, they should check whether they require any additional support for them to work alone safely. When medical advice is necessary, the Occupational Health Unit should be consulted.

What happens if a person becomes ill, has an accident, or there is an emergency?
As indicated within Section 1 this is often the most significant risk associated with lone working. The assessment should take account of the fact that a lone worker is more vulnerable when the unexpected happens and must set out how emergency support will be provided. Where possible the risk assessment should identify foreseeable events and emergency procedures should be established and employees trained in them.

There should always be a defined system of periodic contact in operation. This may be by use of mobile phone, periodic check visits or other means of ensuring that a person does not work alone without any contact. The frequency of contact needed will be informed by the nature of the risks involved in the work. There should always be a method agreed to ensure that the person has safely left work at the end of the day.

4.3 Record the findings of the assessment
Although risk assessment is itself a planning process, there is a legal requirement that the significant findings of the risk assessment be recorded. There is some choice in whether this is done as a single-issue lone worker risk assessment or as part of the wider risk assessment of the work.

If done within a wider ranging risk assessment, the risk assessment template forms provided on SEPS website can be used with lone working suitably included as one of the hazards.
The blank template, which is provided at Appendix 6 of this document provides helpful prompts and can be used as a guide if a more general risk assessment is being done.

The aim should be to record any findings in a way that provides a useful working document for supervisors and staff to help them to understand the action they need to take. A clear document will also help when deciding when the assessment needs to be reviewed or where further preventative measures are necessary.

All records of risk assessments should include information on:
- The hazards identified;
- The safe working procedures that are necessary, including the physical controls, training, supervision and monitoring/contact arrangements;
- The contingency plan, should the monitoring/contact arrangements fail to operate;
- Any limits to what can and cannot be done while working alone; and
- In the case of work outside normal hours, the definition of the term ‘normal hours’.

### 4.4 Implement the safe working arrangements

The risk assessment will have identified the physical controls, systems of work, training and supervision necessary to ensure the safety of the lone worker. If all of these arrangements are not already in place, they will need to be implemented in a structured way to support the lone working. An action plan with target dates for completion of the outstanding work is often helpful in ensuring that the necessary arrangements are put in place effectively.

### 4.5 Monitor and review the safe working arrangements

Once the safe working arrangements have been implemented, they need to be regularly monitored and reviewed locally, as part of day-to-day interactions with staff, to ensure they remain effective. More formal monitoring of the arrangements will also take place as part of the University’s health and safety audit programme. Lone workers must be actively encouraged to report any incidents which could affect their safety, to allow a proper review of the adequacy of the working arrangements.

All risk assessments should be reviewed at regular intervals, at least once a year or whenever there is a reason to believe that the existing assessment is no longer valid. The revised risk assessment should then be issued to relevant staff, with a new review date.

### 5. Appendices

The Appendices provide information on a few specific types of lone working and include a template risk assessment form. The impact of lone working and mental health is also highlighted. It is recommended that the Appendices be used as a prompt, to allow the lone working risk to be considered as part of the overall risk assessment of the work. Appendix 7 can be used as a record form in support of this.
Appendix 1

Lone working and its effects of mental health

Typically, organisations tend to focus on the physical risks that can impact the safety of their employees. Despite this, evaluating and monitoring mental health is a fundamental part of an employer’s duty of care. While lone workers may be ‘out of sight’, it’s important they don’t become ‘out of mind’ and start to suffer from mental wellbeing issues.

For many people, working on their own periodically is a useful break perhaps allowing them a period of space and quiet to deal with work that they cannot get done in the normal busy workplace environment. In the short term, the flexibility and choice to make such a choice about the work environment is helpful and useful to most people. However, the crucial point is that it is a matter of choice. The situation may be very different when for reasons of the job or, external factors such isolation is longer term and involuntary. This type of lone work can be damaging to staff wellbeing but may also go unnoticed as they are not present in the workplace.

The effect of such longer term isolation can lead to, feelings of isolation, loneliness, anxiety, depression and falling self-esteem and stress. These feelings can be worse when people are also trying to cope with having or difficult workloads. Additional emotional stress from certain types of sociological fieldwork may also pose particular challenges. In sufficient workloads may also be problematic if feel that are not able to contribute and feel disconnected from the department or organisation.

The recent Covid-19 lockdown measures where many staff have been compelled to work from home has highlighted the potential mental health risks for many people in this situation, unable to attend their normal workplace and share time with colleagues.

A management approach

The University recognises the mental health risks of sustained lone working and aims to provide working arrangements that minimise this risk and provide fulfilling and meaningful working arrangements for all staff. As a general principle, this will mean allowing an element of choice for the individual in whether they can spend time in a group environment, or nor, so far as the requirements of the work allow this.

Where staff are required to work on their own, whether through the requirements of on-site activities, through homeworking, or fieldwork managers must take account of the mental health risks as well as the more well understood physical hazards that workers may face. Individuals will vary in their response to lone working both through individual personality traits and as a result of the work being done and it is important that manager keeps in contact with staff who are working alone and have regular conversations with them about how they are feeling about the work. Some key pointers are provided below:

- Try to provide a choice on whether people have to work alone, or not.
- Try to allow variation in working patterns to avoid long term lone-working.
- Consider staff workloads – discuss whether workloads are excessive or insufficient.
- Keep in regular contact with staff through video calls, phone call and other verbal routes as well as email and non-verbal methods.
- Try to have regular conversations with staff about how they are feeling about their work.
- Be sensitive to signs of stress or mental health issues.
Appendix 2

Lone Working – Domiciliary etc, Visits and Peripatetic Workers

Introduction

This Appendix has been written with the intention of ensuring the safety of staff who may have to carry out work in private homes. This could include, for example, HR practitioners, line managers or Occupational Health staff conducting home visits to staff, researchers visiting the homes of staff and students or people taking part in research projects or other similar situations.

Risk Assessment

As most risk is attached to the unknown, it is essential that all such visits are subject to a suitable and sufficient risk assessment. Therefore, when considering the associated risks, managers must take into account factors including:

- Known history of the person being visited;
- Family circumstances;
- Living arrangements;
- Concerns considered relevant by the referrer;
- Travelling to isolated or rural areas;
- Travelling between appointments;
- Communication availability; and
- Personal safety and security.

To reduce the risks to the lowest level *reasonably practicable*, the risk assessment must consider control measures such as:

- Arranging for meetings to be held in University or other suitable premises rather than at the person’s home where possible;
- Allocating two members of staff to make the visit, particularly if this is a first visit;
- Implementation of a management control system ensuring that information (such as where the lone worker is going; who they are visiting; contact address and telephone number; estimated arrival time and duration of visit; time expected to return to office; time and location of next visit or, time when they are due to arrive home to at base) is shared with colleagues;
- Provision of training appropriate to the level of risk. This may include any, or all, of the following:
  - Information and instruction on contact procedures and local risk management protocols
  - Basic personal safety awareness
  - Strategies to prevent and/or manage violent and aggressive incidents
  - Moving and handling training
  - Violence and Aggression training in Breakaway Techniques
  - Procedures for safe handling of any substances or waste
  - Instructions on the procedures for reporting of all incidents, however minor.
Appendix 3

Lone Working – Working Alone in Buildings and Surrounding Areas

Introduction

The purpose of this Appendix is to provide information relating to the safety of workers, including postgraduate students, working alone in University buildings and surrounding grounds.

Risk Assessment

When considering the associated risk of working alone in a building and/or its grounds, managers must take into account the following factors:

- Risk associated with the activity being undertaken;
- The individual’s capacity to undertake the activity; and
- Security of the building and grounds.

To reduce the risks to the lowest level reasonably practicable, risk assessment must consider control measures. Entry to buildings should be controllable so that unwanted visitors do not gain access. A risk assessment for lone workers in buildings and grounds (researchers, postgraduate students, maintenance, cleaners, porters, security staff etc.) should be put in place.

In particular, it is vital that local management systems are in place to protect employees who may be alone in an area of the building or surrounding grounds. Contact procedures should be agreed and implemented so that others are aware of the presence and movement of lone workers and what procedures to follow should the lone worker fail to make contact at predetermined times. These procedures are especially important during out of hours work, as there will be fewer staff members in other areas of the premises to offer support should an incident occur. Entrance security systems (e.g. Digilocks or Swipe Card access) should be considered in areas where staff work alone to ensure there are no unwanted callers. Panic buttons, linked to a manned location, should also be considered. Within the grounds, thought should be given to the quality of lighting and whether security cameras may also be required.

In addition to the above, all lone working staff must undergo training appropriate to the level of risk, as determined in the risk assessment. This training shall include any, or all, of the following:

- Information and instruction on contact procedures and local risk management protocols;
- Basic personal safety awareness;
- Strategies to prevent and/or manage violent and aggressive incidents;
- Moving and handling training;
- Procedures for safe handling of COSHH substances; and
- Instructions on reporting procedures for incidents, however minor.

Staff working alone within a Department during working hours should:

- Ensure they have access to a telephone to call for help if needed;
- Ensure that keys are secured;
- Call security or emergency services as appropriate if they become anxious regarding their safety; and
- If an incident occurs, report the circumstances, no matter how minor to your manager as soon as practicable after the event.
• Be aware of any personal risk factors arising from a medical condition

Staff working alone within a Department **outside normal working hours**, as a matter of routine, should:

• Ensure that all windows and doors are secured to prevent unauthorised access, so that the working environment is as safe as possible;
• Advise their presence to Security by phone on 0141 330 4282.
• On leaving the Department, ensure that all windows are closed, and doors locked and advise Security that they are leaving; and
• If an incident occurs report the circumstances, no matter how minor to your manager as soon as practicable after the event.

Staff working alone in University grounds should:

• Make themselves aware of the activity risk assessment and the necessary control measures which require to be implemented; and
• Ensure that they comply with safe systems of work put in place for their safety.
• If working at night, consult Security about the activities, in advance.
Lone Working – Field Work in remote and/or rural areas

Introduction

The purpose of this Appendix is to provide information relating to the safety of workers working alone in the course of carrying out field work which may be in remote and/or rural areas. **A fieldwork risk assessment MUST be carried out in addition to consideration of any lone working issues.** Lone working can be included as one of the hazards within the fieldwork risk assessment and assessed within that form as part of the overall work planning process.

Risk Assessment

When considering the associated risk of carrying out field work in remote areas, whether urban or rural, managers must take into account the following factors:

- Risk associated with the activity being undertaken;
- The individual’s capacity to undertake the activity;
- Suitability of equipment in use for exposure to elements;
- Availability/ Suitability of personal protective equipment for use in exposed situations;
- Distance from nearest A&E and other emergency services and First Aid provision;
- Risks associated with travel in remote areas;
- Likelihood of having to deal with confrontation;
- Communication availability; and
- Personal safety and security

To reduce the risks to the lowest level reasonably practicable, the risk assessment must consider control measures such as:

- Whether a minimum of 2 people should be allocated to this field activity
- Whether alternative communication technology is available for use in isolated situations
- Implementation of a management control system ensuring that information (such as where the field work is taking place; the duration of the activity; anticipated time of arrival on site, departure from site and return to normal work base; any special contact arrangements; location and contact details of accommodation etc.) is easily available to manager or other suitable colleagues.
- Provision of alternative work equipment for use in exposed conditions
- Provision of basic or enhanced first aid equipment
- Advanced notification of field work activity to emergency services
- Training appropriate to the level of risk. This may include any, or all, of the following:
  - Information and instruction on contact procedures and local risk management protocols
  - Basic personal safety awareness
  - Strategies to prevent and/or manage violent and aggressive incidents
  - Moving and handling training
  - Violence and Aggression training in Breakaway Techniques
  - Procedures for safe handling of any substances or waste
  - Procedures for safe use of equipment
  - Instructions on the procedures for reporting of all incidents, however minor
  - First Aid training suitable to the circumstances.
Lone Working – Call-out Staff

Introduction

The purpose of this Appendix is to provide information in relation to the safety of those employees required to attend work outside normal working hours as part of a call-out service. Whilst this applies commonly to trades employees operating in Estates it equally applies to all other situations where members of staff provide call-out responses.

Risk Assessment

When considering the risks to staff associated with call-out duties, managers must take into account the following factors:

- Risks associated with the activity being undertaken;
- The individual’s capacity to undertake the activity; and
- Risks associated with other on-going activities in the area where the response is required and availability of relevant information from client departments
- Risks associated with reduced supervision
- Security of the building and grounds where the activity is being undertaken
- Travel (at times when public transport may not be available for instance);
- Communication availability; and
- Personal safety and security
- Likelihood of having to deal with confrontation

To reduce the risks to the lowest level reasonably practicable, the risk assessment must consider control measures such as:

- Whether a minimum of 2 people should be allocated to this activity
- Whether alternative communication technology is available for use in isolated situations
- Provision of basic or enhanced first aid equipment
- Checking-in and out arrangements through a pre-agreed contact point (such as the Security Gatehouse for instance)
- Training appropriate to the level of risk. This may include any, or all, of the following:
  - Information and instruction on normal and emergency contact procedures and local risk management protocols
  - Basic personal safety awareness
  - Strategies to prevent and/or manage violent and aggressive incidents
  - Violence and Aggression training in Breakaway Techniques
  - First Aid training suitable to the circumstances.
Lone Working – Travelling between sites

Introduction

It has been estimated that up to a third of all road traffic accidents involve somebody who is at work at the time. Health and safety law applies in the same way to on-the-road work activities as to all other work activities and the risks to employees, and to others who may be affected by our work-related driving activities, require to be effectively managed. These requirements are in addition to the duties of drivers under road traffic law. Recognition should be taken of the particular risks to lone workers, and effective measures require to be put in place to reduce the risks to the lowest level practicable.

Managers’ Responsibilities

Managers should undertake a risk assessment based on the frequency of lone worker travel and the location and distance between sites, times of travel (i.e. during hours of darkness or in daytime), the potential for threat to personal safety etc. (See attached Lone Worker Risk Assessment Form.) Systems should be in place to control the risks to lone workers. These controls should be documented and may include:

- Training on safe working procedures (e.g. planning ahead for the journey, the use of checking in procedures and other contact schemes etc);
- Personal safety awareness training;
- Procedures to follow in the event of vehicle breakdown; and
- Procedures to follow in the event of an accident or other incident.

An evaluation of the remaining risks requires to be taken and a decision made as to whether existing precautions are adequate or whether more should be done. Where further controls are required, these require to be implemented and monitored for effectiveness.

Where mobile phones are the preferred method of contact, employers have a right to expect employees to drive safely and conduct themselves in a manner that does not contravene the Road Traffic Act or endanger the safety of others. They should not expect, nor permit, an employee to endanger themselves, other road users or pedestrians by expecting them to make or receive calls whilst driving. Employers can be held liable, as well as the driver, if they require employees to use a mobile when driving.

Employees’ Responsibilities

Employees are responsible for taking reasonable care of themselves and others affected by their activities and also for co-operating with their employer on health and safety issues. They have a duty to comply with procedures put in place to minimise the risk to their health and well being and not to misuse any equipment provided for their safety.

If issued with a mobile telephone as part of a lone-working safety measure, it is the responsibility of the lone worker to use it appropriately, and whilst parked safely. It is also their responsibility to ensure that they do not breach road traffic legislation by making or receiving calls while driving. Depending on the circumstances, drivers can be charged with “failing to have proper control of their vehicle”. The University does not encourage any telephone use while driving and will co-operate with police enquires resulting from a road traffic collision and will supply the police with all relevant information, including call times.
Employees are also reminded that, where they are using their own vehicles to travel between work sites, they must ensure that they are maintained in a roadworthy condition, have a current MoT (where necessary) and that their insurance extends to business use. They must conduct themselves in a manner that does not contravene the Road Traffic Act or endanger the safety of others. They should ensure that they never drive under the influence of alcohol or drugs. Some prescription drugs can also adversely affect the ability to drive safely and advice should be sought from GPs or pharmacists. Additionally, employees should make their managers aware of any health problems or personal circumstances which could make driving more hazardous.

Employees must report any accident and follow the reporting procedures for any incident which affects, or may have affected, personal safety during the course of transiting between sites.
**Appendix 7**

**Lone Working Risk Assessment Form**

<table>
<thead>
<tr>
<th>Description of work:</th>
<th>Role of people involved:</th>
<th>Number of people involved:</th>
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<tr>
<th>Department:</th>
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<thead>
<tr>
<th>Risk assessment carried out by:</th>
<th>Date completed:</th>
<th>Review date:</th>
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<tr>
<th>Assessor’s signature:</th>
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<table>
<thead>
<tr>
<th>Main risks and issues of concern</th>
<th>Domiciliary Visits</th>
<th>Working Alone in Buildings</th>
<th>Travel Between Sites</th>
<th>Remote Field Work</th>
<th>Call-Out Duties</th>
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<tbody>
<tr>
<td>Do staff work alone?</td>
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<td>Are staff easily identifiable as UoG workers or wear easily identifiable uniforms?</td>
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<tr>
<td>Do staff carry out visits/travel to high-risk locations (for example, areas with high crime rates)?</td>
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<tr>
<td>Do staff carry out visits/get called out during unsociable hours or out with normal office hours?</td>
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<td>Is there a security provision?</td>
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<td>Does any member of staff have medical problems (e.g. a heart condition) that may put them at a higher risk of becoming unwell when working alone?</td>
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<tr>
<td>Is First Aid available if person becomes ill or injured?</td>
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<td>Do activities involve handling dangerous substances (chemicals, biohazards)?</td>
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<td>Can all the equipment required for the activity, be carried safely by one person?</td>
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<td>Do staff carry valuables or drugs?</td>
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<td>Once on site, do staff work in isolation?</td>
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<td>Does the job involve working alone in different areas around the University?</td>
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<td>Is there poor access/poor lighting to the building?</td>
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<tr>
<td>Do staff carry out visits or meet with clients (including staff who are clients) or patients in isolated areas?</td>
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<td>Do staff visit unfamiliar clients or relatives?</td>
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<td>Do staff visit a high-risk or unstable or unpredictable client</td>
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<tr>
<td>Question</td>
<td>Answer</td>
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<tr>
<td>Do you use staff that are new or inexperienced in domiciliary work?</td>
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<td>Is the travel to sites or clients a regular occurrence? (E.g. same places on a certain day)</td>
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<td>Do staff visit multiple sites on same journey</td>
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<td>Do supervisors know where staff are going? (e.g. Do staff decide the order and when to do visits)</td>
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<td>Others (Please give details):</td>
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<td><strong>Existing control measures – Tick if these are in place</strong></td>
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<td>Do you assess new research clients in an NHS or UoG setting rather than their home?</td>
<td>Have you issued personal attack alarms?</td>
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<td>Do you provide accompanied visits when there are concerns about safety?</td>
<td>Do you use two-way radios/mobiles or other communication systems?</td>
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<tr>
<td>Do you have access to known risk factors in referral documents, where relevant?</td>
<td>Do staff have information and training on basic personal safety?</td>
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<td>Do you receive from and share risk information with other professionals and agencies?</td>
<td>Are staff trained in strategies for preventing and managing violence?</td>
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<tr>
<td>Are there systems for monitoring staff whereabouts and movements and for regularly reporting to base? (Please give details)</td>
<td>Do staff have access to report incidents or near misses and appreciate the need for this procedure?</td>
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<tr>
<td>Do you provide joint working for high-risk activities (in other words, in confined spaces and with dangerous substances)?</td>
<td>Do staff know procedures in event of work vehicle breakdowns?</td>
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<td>Is there closed-circuit television within or around the building?</td>
<td>Is there a procedure in place if staff fail to turn up at a site?</td>
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<tr>
<td>Do you use entrance security systems (for example, Digilocks or swipe cards)?</td>
<td>Do you have safe working plans and training highlighting the risks?</td>
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<td>Is there security lighting around access points and parking areas?</td>
<td>Do staff have the ability to contact base if stranded?</td>
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<td>Have you installed panic buttons linked to manned locations?</td>
<td>Does the department have a Booking IN/OUT system for off site visits?</td>
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<td>If moving and lifting equipment, have staff attended moving and handling courses?</td>
<td>Other?</td>
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<td>Other?</td>
<td>Other?</td>
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</table>
Risk(s) remaining after existing control measures are in place | RISK RATING (High, Medium or Low)
---|---

N.B. This is a Generic Risk assessment and during the course of work additional hazards may occur specific to the job or condition of the employee that will warrant a person specific risk assessment.

<table>
<thead>
<tr>
<th>Additional controls required: (To reduce residual risk(s) if reasonably practicable)</th>
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<thead>
<tr>
<th>Additional controls Agreed: (Yes or No). If ‘Yes’ detail the action to be taken, include target dates for implementation. If ‘No’ comment on reason for disagreement.</th>
</tr>
</thead>
</table>

Name: Signature:  
Designation: Date: