

**CORPORATE HEALTH, SAFETY AND  
WELLBEING POLICY**



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## **I. HEALTH, SAFETY AND WELLBEING (HSW) POLICY STATEMENT**

Plymouth City Council is committed to ensuring the health, safety and wellbeing (HSW) of all employees, councillors, members of the public, service users, pupils, contractors and anyone else affected by the Council's work activities, as well as maintaining all PCC assets as far as reasonably practicable.

We are also committed to providing a supportive, safe and healthy environment and creating a culture which promotes the health, safety and physical, mental, social and emotional wellbeing of employees so that they can lead productive and healthy working lives.

We will ensure the provision of appropriate resources, including employees, premises, finance and equipment in a timely manner so as to conduct our activities in accordance with the Health and Safety at Work etc Act 1974 and all other statutory and regulatory requirements, seeking to exceed such requirements wherever possible.

We are committed to ensuring that there is visible, strong and active HSW leadership from the highest level, also ensuring the development of a positive HSW culture which encourages the reporting of incidents in order that controls can be implemented and lessons can be shared.

We recognise the value of individual consultation prior to allocating specific HSW functions and will ensure that employees are consulted in matters relating to HSW management.

Furthermore, it is the responsibility of all our employees, councillors, contractors and others to ensure the HSW of themselves and others affected by their activities, reporting any issues immediately and complying with all HSW control measures provided.

Specifically, we recognise our obligations to:

- Identify all significant hazards that may arise through our activities and ensure these risks are assessed in order to institute effective control measures to eliminate, minimise or manage these risks.
- Provide, promote and maintain safe and healthy working conditions, equipment and systems of work for all employees and others, at least to the standards required by legislation and recognised good working practices.
- Ensure employees have access to competent occupational health advice and support.
- Implement safe systems of work and provide such information, instruction, training and supervision as is necessary to ensure the HSW of employees and others who may be affected by our activities.
- Ensure that this Policy and all associated Performance Standards are current and relevant, reflecting the most up to date legislation, standards and guidance.
- Monitor and review effectiveness of HSW arrangements and make improvements where required and implement a robust audit and review process designed to measure safety performance generally and the compliance with the Authority's policies and relevant statutory obligations.
- Ensure that all relevant legal requirements, policies and systems are communicated, followed and enforced.
- Integrate Health, Safety and Wellbeing into all our business practises, projects and planning

In delivering these aims, we expect our employees and councillors to always conduct themselves in a professional manner, and to engage with management in any and all HSW or FM initiatives that are implemented, in order to continue to develop a positive HSW Culture, statutory compliance and drive continual improvement.



Tracey Lee  
Chief Executive  
2 May 2024



Sue Dann  
Portfolio Holder  
2 May 2024

## 2. ORGANISATION FOR HSW

### 2.1. TERMINOLOGY

**Hazard** – That which has the potential to cause injury, harm or loss.

**Risk** – The likelihood that injury, harm or loss will be realised.

**HSW Risk Profile** – Identifies the nature and level of HSW threats faced by the Council including the likelihood of these threats occurring and the level of disruption / cost they would cause. The risk profile also considers the control measures in place to mitigate the risks.

**Safety Culture** – is a part of the overall shared corporate values of the organisation and is seen as affecting the attitudes, beliefs, perceptions and values of its members in terms of HSW performance.

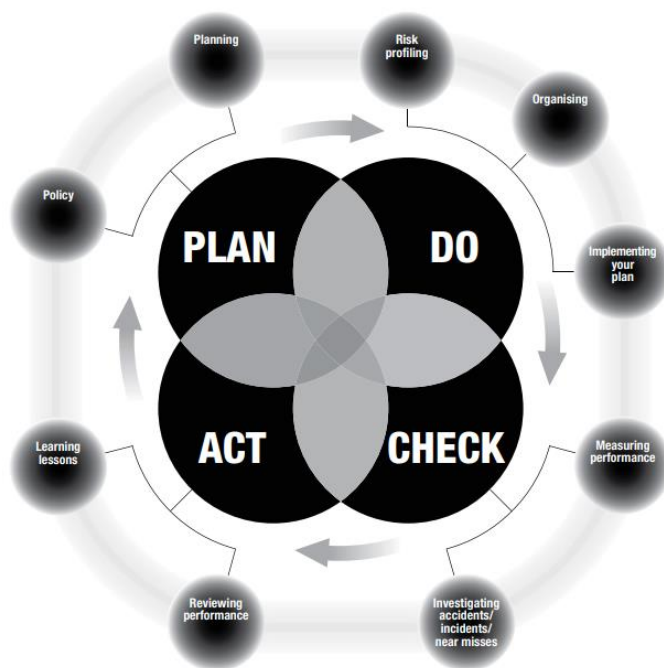
**Health** – The protection of the bodies and minds of people from illness resulting from the materials, processes or procedures used in the workplace.

**Safety** – The protection of people from physical injury.

**Wellbeing** – *World Health Organisation definition (WHO):* ‘A state of complete physical, mental and social wellbeing and not merely the absence of disease or infirmity.’

**HSG65** – ‘Managing for Health and Safety’ is guidance produced by the Health and Safety Executive which explains the Plan, Do, Check, Act approach to HSW management and shows how it can help achieve a balance between the systems and behavioural aspects of management. It also treats the management of HSW as an integral part of good management generally rather than as a standalone system. The HSW Management System at the Council is based on this guidance and is reflected throughout this document.

Fig 1 – Plan, Do, Check, Act Model



## 2.2. ORGANISATION, DUTIES AND RESPONSIBILITIES

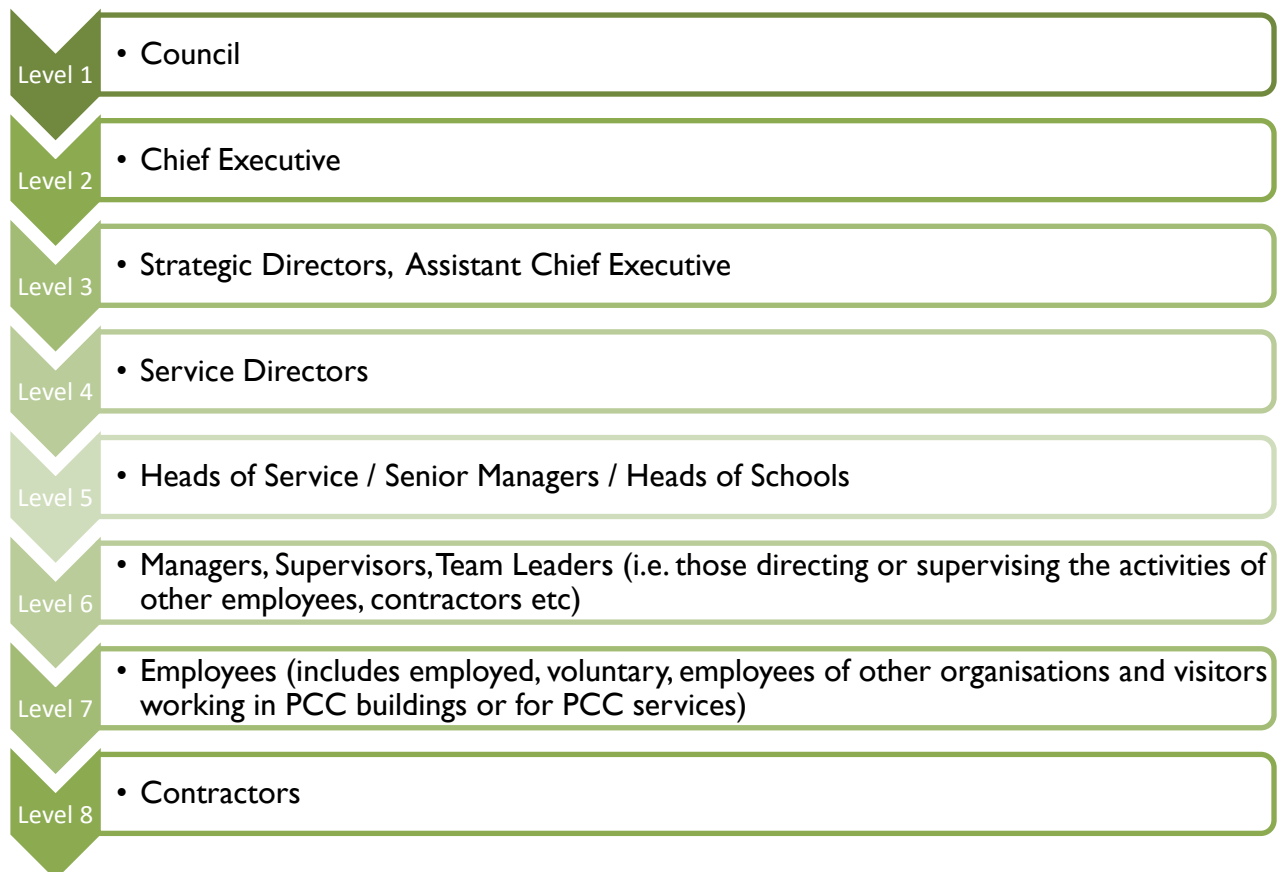
Employees and Councillors are responsible for ensuring that they conduct their activities, and those activities over which they have control, in accordance with the Councils HSW policy and relevant statutory provisions, published in HSW Performance Standards. They must co-operate with their line manager and heads of service so that HSW responsibilities can be discharged.

Employees have a duty to take care of their own HSW and that of others who may be affected by their actions. This includes following instructions, using any safety control measures (equipment, processes etc) that has been provided and taking part in required training.

HSW is managed throughout the organisation by delegation of responsibility through the line management structure. Each act of delegation must be accompanied by a realistic and workable system of monitoring or supervision to ensure that the delegated task has been adequately implemented (i.e. the responsibility is not met by giving directions; it is only met when those directions have been confirmed as carried out). This organisation is complex, but the management of HSW has been divided into eight levels of responsibility. The schematic Fig 2 outlines the governance, strategic management and operational management levels of HSW responsibilities.

Generic HSW responsibilities have been allocated to each level and these are described in detail in this section.

Fig 2 – HSW Strategic and Operational Responsibilities Schematic



### 2.2.1. Level I – Council

Council is responsible for health, safety and wellbeing leadership, oversight, resourcing and scrutiny.

The Council operates a Leader and Cabinet model of governance. Under this arrangement all executive functions are vested in the Leader who can then delegate (and take back) functions as they see fit. The Leader will act as chair of Cabinet meetings and may act on behalf of, or instead of, any other Cabinet members.

The Leader has decided that some decisions must be agreed by the individual Cabinet member who has responsibility for that function unless the Cabinet member takes a specific decision to delegate that decision to a committee or officer.

The Cabinet member with responsibility for Customer services, Sport, Leisure, HR & OD is responsible for and may take decisions about Health, Safety and Wellbeing.

Executive responsibilities are carried out on behalf of the council and in the council’s name.

<b>PLAN</b>	Ensure a positive HSW culture across the Council	<b>GOVERNANCE</b>
	Appoint the CEO as head of the Council and put in place suitable arrangements for monitoring their performance particularly with regard to the management of HSW	
	Review the Council HSW Policy on a regular basis	
	Review the Council HSW objectives / benchmarking on a regular basis	
	Ensure that HSW appears regularly on the agenda of Cabinet meetings	
	Be aware of significant HSW risks faced by the Council	
	Consider the HSW implications of strategic decisions such as capital development projects and tender / due diligence processes	
	Ensure that emergency planning arrangements are kept up to date and resource allocated	
	Ensure that appropriate systems are in place to seek assurance of HSW performance, through the standard Council governance processes	
<b>DO</b>	Seek assurance (through scrutiny and other committees) that:	
	HSW arrangements are adequately resourced	
	Risk control measures are in place and are acted on	
	There is an effective process to identify training and competency needs in keeping with HSW responsibilities	
	There is a process to review and test emergency and fire policies and procedures for effectiveness	
	There is a process for auditing HSW performance	
	There is a Council HSW Steering Group chaired by the Council Executive Lead with responsibility for HSW.	

	The Council has access to competent HSW advice	
	There is a process for employees or their representatives to be involved and engaged in decisions that affect their HSW	
CHECK	Receive and reasonably evaluate leading and lagging data relevant to HSW	
	Ensure that management systems allow the Cabinet to receive assurances about all Council activities and undertakings.	
ACT	To be satisfied that there are regular independent reviews of HSW management across the Council	
	Be satisfied that lessons are learnt and shared following accidents and near-miss incidents	
	Be satisfied that policies and procedures are subject to appropriate enforcement	
	Review audit processes to ensure they are appropriate for the Council	
	Regularly review the Council HSW risk profile	



### 2.2.2. Level 2 – The Chief Executive

The Chief Executive has the ultimate accountability for ensuring that the Council complies with the statutory requirements of the Health and Safety at Work etc. Act 1974.

Although accountability rests with the Chief Executive, responsibility for the operational aspects of HSW management will be delegated to other tiers of managers. However, a process must be implemented to gain assurances that these responsibilities are being fulfilled.

[Click here](#) for further HSE information on senior executive responsibilities for leading health and safety at work.

<b>PLAN</b>	Lead and encourage a positive HSW culture across the Council	<b>STRATEGIC MANAGEMENT</b>
	Ensure the Council receives and has access to competent HSW advice	
	Ensure that an executive lead with responsibility for HSW is appointed to provide operational oversight	
	Ensure that the Health, Safety and Wellbeing Steering Group is established and chaired by the executive lead with responsibility for HSW	
	Demonstrate ownership of Council HSW Policy Statement and communicate its values across the Council	
	Ensure that benchmarking standards are developed, and that monitoring, measurement and reporting procedures are in place	
	Ensure adequate resources are allocated to the management of HSW. This should include any necessary specialist and/or designated or nominated support e.g. Competent HSW Advisors, Fire Safety Advice, HSW Coordinators, Fire Marshals, DSE Assessors etc where they are required	
	Ensure that HSW is embedded within the Council strategic corporate objectives	
	Ensure the integration of the Occupational Health Service into the Council HSW management system	
	Ensure that HSW risks are included in the Council Corporate Risk Register where appropriate	
	Ensure the embedding of a Council wide HSW internal auditing programme based on the HSW risk profile	
	Ensure emergency procedures encompass all relevant HSW risks	
	Ensure that the HSW implications of strategic decisions such as capital development projects and tender / due diligence processes are considered	

<b>DO</b>	Implement and champion the Council HSW Policy and arrangements
	Ensure that the membership of the HSW Steering Group is of a level that can make operational decisions and influence directorate and service HSW cultural improvement and ensure attendance is prioritised for this meeting.
	Own and be an ambassador for organisation-wide campaigns to raise HSW awareness and promote behaviour and culture change
	Lead by example, taking an interest in HSW activities
	Follow local procedures when on tours and visits and enquire about HSW issues and how they are managed
<b>CHECK</b>	Ensure HSW management system is effective by seeking assurance from the Executive with responsibility for HSW and the Head of HSW
	Seek assurance that appropriate health surveillance procedures are in place to prevent occupational illnesses
	Seek assurance that appropriate HSW inspections, audits and investigations are conducted across the Council and that any recommended actions are carried out
	Receive and review HSW performance data (leading and lagging)
	Ensure the employee performance processes are used to check the delivery of HSW objectives across the Council (e.g. mandatory and essential training requirements)
	Seek assurance that the deployment of HSW resources are sufficient, competent and effective
<b>ACT</b>	Review HSW performance across the Council. Ensure achievements are acknowledged, lessons learned and shared and corrective action is taken where appropriate
	Ensure that the results of HSW performance are communicated to the Council community

### 2.2.3. Level 3 – Strategic Directors, Assistant Chief Executive (CMT)

CMT promotes and develops a positive attitude to HSW through its management structure and support the Chief Executive to discharge their responsibilities and accountabilities.

They are responsible for implementing the PCC HSW management system across their area of responsibility.

<b>PLAN</b>	Establish a positive HSW culture across their area of responsibility	<b>STRATEGIC / OPERATIONAL MANAGEMENT</b>
	Ensure that HSW is considered alongside the organisational planning process	
	Ensure that local HSW Plans for their Directorate and Services align with this HSW Policy	
	Include appropriate HSW risks in the operational and/or corporate risk registers (from service area Heat Pads, management and action plans)	
	Ensure that HSW performance is discussed at Sub JCC Committees, or set up service and/or directorate HSW Committees where this does not happen.	
	Ensure all staff consultation and communication involves appropriate stakeholders such as trade union and management representatives	
	Ensure induction arrangements include all relevant information for all new starters including mandatory training requirements	
	Plan arrangements for managing HSW e.g. set up committee meetings, monitoring processes, determine local KPI's and identify training, competency and development needs	
	Assign sufficient resources (competent personnel, with enough time and facilities) This should include any necessary specialist and/or designated or nominated support e.g. Competent HSW Coordinators, Fire Marshals, DSE Assessors etc where they are required	
	Make arrangements to ensure the HSW of all persons who may be affected, including staff, contractors, visitors and members of the public	
<b>DO</b>	Put processes in place to ensure all activities are appropriately risk assessed and control measures are implemented	
	Ensure arrangements and responsibilities are appropriately designated and understood by relevant staff for tasks such as the completion and review of risk assessments	
	Chair or ensure there is suitable representation for the local HSW / Sub JCC committee meetings, attending wherever possible	
	Develop, review and communicate the Directorate / Service HSW Plan and ensure all actions are completed within the appropriate timescale, escalating any concerns where necessary	

	Receive summary reports of accident and incident investigations and follow up outstanding actions as appropriate
	Identify and agree HSW competencies and development needs for staff and set training objectives with senior team members
	Assess the HSW impact of new projects at planning stages and liaise with the HSW Department e.g. refurbishment of facilities or procurement of systems and assets
	When purchasing equipment, consider the HSW requirements and implications such as installation, set up, use, maintenance, inspection, servicing and decommission
	Embed HSW arrangements during selection and procurement of contractors
	Take appropriate action when HSW is likely to be compromised, suspending an activity if required - contact the HSW Department for advice and support
<b>CHECK</b>	Attend HSW inspections of area of responsibility at appropriate intervals
	Check that agreed HSW training objectives are being met. Use the RPD process to support this
	Analyse HSW KPI compliance information (accident, sickness absence and training data) to identify emerging trends in the Directorate and take action if required
	Keep staff informed by monitoring progress and actively seek their feedback/views on improvements e.g. via local HSW / JCC committees and surveys
	Check that all actions and recommendations from HSW processes (e.g. incidents, risk assessments, plans, audits and inspections) are implemented
<b>ACT</b>	Review risk management processes regularly and take action to implement recommendations
	Implement appropriate actions in the event of significant / high risk incidents

#### 2.2.4. Level 4 - Service Directors

Service Directors are accountable for implementing and monitoring this policy within their departments, through appropriate delegation and provision of resources, and escalating any risks to their Directorate Management Team / Strategic Director.

<b>PLAN</b>	Establish a positive HSW culture across their area of responsibility	<b>OPERATIONAL MANAGEMENT</b>
	Ensure that HSW is considered alongside the organisational planning process	
	Ensure that HSW performance is discussed at Sub JCC Committees or set up service and/or directorate HSW Committees where this does not happen.	
	Set reasonable objectives for areas of responsibility, including allocation of work for risk assessments	
	Develop or use existing communication processes (such as team meetings) to keep teams informed and to receive information back from them	
	Plan the deployment of resources to achieve HSW objectives (e.g. training). This should include any necessary specialist and/or designated or nominated support e.g. Competent HSW Coordinators, Fire Marshals, DSE Assessors etc where they are required	
<b>DO</b>	Implement the Service HSW Plan and arrangements (from HSW Management Toolkit)	
	Ensure risk assessments are undertaken and recorded and ensure staff, contractors and others are following safe systems of work and control measures	
	Provide induction training for the staff, contractors and others in accordance with the training and competency framework and risk assessments	
	Ensure new processes are risk assessed before implementation	
	Ensure all new equipment is assessed and users are trained in safe systems of work and risk control measures	
	Provide staff with health surveillance if identified in risk assessments including pre-employment health checks	
	Ensure there is a programme of inspections and be involved in audits if required	
	Lead on investigations into accidents and near miss incidents	
	Take appropriate action when HSW is likely to be compromised, suspending an activity if required - contact the HSW Department for advice and support	
	Keep up-to-date with relevant HSW requirements using appropriate guidance for support	

	Set up / monitor and review an appropriate programme for statutory inspection, maintenance and testing of equipment, e.g. local exhaust ventilation, pressure systems and lifting equipment etc. Ensure that a record is made of all equipment, including details of maintenance, testing and inspection and insurance inspections
<b>CHECK</b>	Monitor that risk assessments have been carried out, recorded, and, where appropriate, reviewed. Ensure control measures are effectively implemented. Use observation, monitoring and inspections
	Check that all statutory examinations, maintenance and tests (e.g. LEV, pressure systems and lifting equipment) are carried out within prescribed timescales, ensuring that requirements and recommendations are acted upon
	Monitor the progress and completion of actions arising from audits and inspections
	Monitor progress and achievements against Service HSW Plans and objectives
	Monitor your training plans and inductions. Utilise staff RPD process to do this
	Analyse HSW KPI information data (e.g. accident, sickness absence and training data) to identify emerging trends in area of responsibility and take action / escalate where required
	Report on findings from inspections and actions undertaken to the local HSW / Sub JCC committee. Use HSW information data in presentations and when discussing trends
	Review actions arising from audits to ensure they have been completed or to monitor progress
<b>ACT</b>	Follow up actions from accidents and incidents investigations and share learning to prevent reoccurrence
	Provide performance data, attend and contribute to the HSW Steering Group challenging own and others performance
	Respond to external influences such as the Health and Safety Executive [HSE] or other regulatory body visits, audits and changes in legal requirements
	Use the information to review and inform planning processes

2.2.5. Level 5 – Heads of Service / Senior Managers / Heads of Schools (see section 2.3)

Heads of Service / Senior Managers / Heads of Schools are accountable for the management and supervision of HSW within their function through appropriate delegation and provision of resources and escalating any risks to their Service Director.

<b>PLAN</b>	Establish a positive HSW culture across areas of responsibility	<b>OPERATIONAL MANAGEMENT</b>
	Ensure that HSW is considered alongside the organisational planning process	
	Set reasonable objectives for areas of responsibility, including allocation of work for risk assessments	
	Develop or use existing communication processes (such as team meetings) to keep teams informed and to receive information back from them	
	Plan the deployment of resources to achieve HSW objectives (from your HSW Management Toolkit e.g. training). This should include any necessary specialist and/or designated or nominated support e.g. Competent HSW Coordinators, Fire Marshals, DSE Assessors etc where they are required	
<b>DO</b>	Implement the Service HSW Plan and arrangements (from your HSW Management Toolkit)	
	Ensure risk assessments are undertaken and recorded and ensure staff, contractors and others are following safe systems of work and control measures	
	Provide induction training for the staff, contractors and others in accordance with the training and competency framework and risk assessments	
	Ensure new processes are risk assessed before implementation	
	Ensure all new equipment is assessed and users are trained in safe systems of work and risk control measures	
	Provide staff with health surveillance if identified in risk assessments including pre-employment health checks	
	Ensure there is a programme of inspections and lead on these with local managers and be involved in audits if required	
	Lead on investigations into accidents and near miss incidents	
	Take appropriate action when HSW is likely to be compromised, suspending an activity if required - contact the HSW Department for advice and support	

	Keep up-to-date with relevant HSW requirements using appropriate guidance for support	
	Set up / monitor and review an appropriate programme for statutory inspection, maintenance and testing of equipment, e.g. local exhaust ventilation, pressure systems and lifting equipment etc.	
<b>CHECK</b>	Monitor that risk assessments have been carried out, recorded, and, where appropriate, reviewed. Ensure control measures are effectively implemented. Use observation, monitoring and inspections	
	Check that all statutory examinations, maintenance and tests (e.g. LEV, pressure systems and lifting equipment) are carried out within prescribed timescales, ensuring that requirements and recommendations are acted upon	
	Monitor the progress and completion of actions arising from audits and inspections	
	Monitor progress and achievements against Service HSW Plans and objectives	
	Monitor training plans and inductions. Utilise staff RPD process to do this	
	Analyse HSW information data (e.g. accident, sickness absence and training data) to identify emerging trends in area of responsibility	
	Report on findings from inspections and actions undertaken to the local HSW / Sub JCC committee. Use HSW information data in presentations and when discussing trends	
	Review actions arising from audits to ensure they have been completed or to monitor progress	
<b>ACT</b>	Follow up actions from accidents and incidents investigations and share learning to prevent reoccurrence	
	Contribute to Directorate annual HSW reviews	
	Respond to external influences such as the Health and Safety Executive [HSE] or other regulatory body visits, audits and changes in legal requirements	
	Use the information to review and inform planning processes	
	Appoint a HSW Coordinator to support them discharge their responsibilities and ensure they have appropriate time and resources to undertake this role	



2.2.6. Level 6 – Managers, Supervisors, Team Leaders (i.e. those directing or supervising the activities of other employees, contractors etc)

Are accountable for ensuring that this policy and associated performance standards and procedures are implemented at a local level, and that risks are managed appropriately and escalated in a timely way to Heads of Service / Senior Managers if they cannot be resolved.

A critical aspect of this role is to ensure that any concerns with the effectiveness of local HSW arrangements are communicated to the appropriate person to ensure continuous improvement of the local and organisation wide HSW management system.

<b>PLAN</b>	Establish a positive HSW culture across area of responsibility	<b>OPERATIONAL MANAGEMENT</b>
	Ensure understanding of Service HSW Plan and procedures	
	Plan any skill, knowledge or refresher training for self, team members and others where appropriate, based upon Service HSW Plans (local arrangements via your HSW Management Toolkit), training objectives and competency framework	
	Consider how procedures based on risk assessments can be effectively communicated	
	Plan resources and ensure all staff understand what is expected of them	
<b>DO</b>	Ensure staff, contractors, visitors and others are aware of and follow all relevant safe systems of work	
	Ensure contractors, visitors and others are provided with relevant HSW information	
	Develop clear and concise procedures and include key safety information in them	
	Implement relevant aspects of the Service HSW Plan (from your HSW Management Toolkit)	
	Ensure that staff teams, contractors and others, where appropriate, have received induction training appropriate to activities being carried out	
	Raise issues concerning non-conformance through the line management structure and by adding to Heat Pads and operational risk registers where appropriate	
	Take part in local workplace inspections / audits and attend local HSW / Sub JCC committees where appropriate	
	Provide feedback on HSW issues to peers, managers, auditors and other relevant authority when required	

	Take part in / lead accident and near miss incident investigations	
<b>CHECK</b>	Ensure risk assessments have been carried out, are up-to-date, recorded and control measures are effectively implemented, communicated and understood	
	Ensure actions from audits and inspections have been completed or that progress is monitored at relevant local HSW / JCC committee, escalate where required	
	Check that local service HSW objectives are being met	
<b>ACT</b>	Provide feedback on HSW performance to managers and acknowledge achievements	
	Review accidents and incidents and ensure lessons learnt from investigations are shared and embedded into local procedures	
	On request from managers, contribute to local annual HSW reviews	
	Use the information to review and inform planning processes	

[Click here](#) for further HSE information on senior executive responsibilities for leading health and safety at work

[Click here](#) for further HSE information on senior managers responsibilities for leading health and safety at work.

[Click here](#) for further HSE information on manager responsibilities for managing health and safety at work.

[Click here](#) for further information on the Evotix Assure electronic HSW Management System

2.2.7. Level 7 – Employees (includes employed, voluntary, employees of other organisations and visitors working in PCC buildings or for PCC services including schools)

All employees and councillors must:

- Comply with this policy and all associated Health and Safety Performance Standards, guidance and risk assessments
- Take reasonable care of their own HSW, and that of anyone affected by their actions
- Comply with all HSW arrangements and controls that are in force across the organisation
- Not intentionally or recklessly interfere with anything provided for their HSW
- Identify new hazards, take immediate actions to remove them where possible or report to their line manager if support is needed
- Report any accident, incident, injury or near miss using the Council's agreed reporting procedure
- Report any unsafe, hazardous or unhealthy working conditions to their line manager
- Co-operate with management to enable the Council to comply with its HSW obligations
- Participate in all relevant instruction or training provided for their HSW
- Ensure their own completion of the Employee's Introduction to HSW at the Council and any other essential HSW training required for their role
- Make themselves aware of, and follow the responsibilities detailed in this policy and any local HSW arrangements
- Seek advice if they do not feel competent to carry out their responsibilities.

Any employees contravening these instructions may be subject to PCC disciplinary proceedings and possible legal action

[Click here](#) for a brief HSE guide to your health and safety at work.

2.2.8. Level 8 – Contractors

The Council has a duty under the Health and Safety at Work etc. Act 1974 to provide a safe environment for contractors working on Council managed property. Contractors must be informed of the Council's emergency procedures so that they are able to take the correct action in an emergency. Where there are known hazards, these should be clearly communicated to contractors for inclusion in their risk assessment process. By the same token contractors are required to provide a description of their method of work to the Council (accountable manager) so that there is an effective dialogue on HSW issues before work commences.

Specifically:

- All contractors are expected to comply with HSW arrangements that are in force within the Council and must take reasonable care for the HSW of themselves and others
- They must not interfere with or misuse facilities that are provided in the interests of HSW
- They must comply with the Council's Policies and Performance Standards and relevant arrangements for the area or activity in which they are working
- Contractors must comply with the Management of Contractors Performance Standard.

## 2.3. SCHOOLS

This section applies to community schools, community special schools, voluntary controlled schools, maintained nursery schools and external learning centres, where the Local Authority is the employer.

Within these organisations there are bodies and individuals, such as school governors and head teachers who have devolved responsibilities for HSW. However, when it comes to the enforcement of health and safety legislation by the Health and Safety Executive (HSE), the Council is responsible, as the employer for the provision of policies, procedures, monitoring and training.

In order to discharge their legal responsibilities, local authority schools are required to comply with the Corporate HSW Policy and Performance Standards including relevant procedures, codes of practice and guidance.

[Click here](#) for further information from the HSE on leading sensible HSW in schools.

### 2.3.1. Head Teachers

Head teachers are responsible for the management of HSW within the areas directly under their control. In addition to implementing the requirements of this policy they are required to:

- Maintain effective communications with employers, governors, and the school workforce, and give clear information to pupils and visitors, including contractors, regarding the significant risks on site.
- Consult and work with recognised TU safety representatives/employee representatives and safety committees.
- Ensure that, where two or more services share a site or area of accountability, they define and implement clear HSW roles and responsibilities. Means of regular communication and coordination between the services should also be established and maintained.
- Ensure their own completion of
  - Managers Introduction to HSW Management
  - IOSH Safety for Executives and Directors

- Ensure the Deputy Head, Business Manager and any Heads of Departments (Managing Staff) have completed:
  - Managers' Introduction to HSW Management
  - IOSH Managing Safely
- Appoint suitably competent people to manage school estate (buildings and assets) in line with FM related HSW Standards and person to have completed IOSH Working Safely.

[Click here](#) for further information on head teacher's responsibilities for leading health and safety at work.

### 2.3.2. Schools' Governing Bodies

Schools' governing bodies are required to ensure:

- Any HSW decisions taken reflect the requirements of the Corporate HSW Policy.
- Overall performance of the school's HSW management system is monitored
- Ensure employees receive adequate training to enable them to carry out their responsibilities.
- Promote a sensible approach to HSW, making use of competent HSW advice when required.
- Work in close partnership with the head teacher and senior management team to support sensible HSW management and to challenge as appropriate.

[Click here](#) for further HSE information on board and executive level responsibilities for leading health and safety at work.

### 2.3.3. Education, Participation and Skills Department (EPS)

The Council's management of community schools, community special schools, voluntary controlled schools, maintained nursery schools and external learning centres is delegated to the EPS Department. The role of EPS is to ensure school's governance arrangements and management systems are suitable and sufficient to ensure education is provided within a safe system; utilising the council's Competent Persons to provide assurance.

## 2.4. COMPETENT HEALTH, SAFETY AND WELLBEING ADVICE

The Management of HSW at Work Regulations require the Council (Chief Executive) to appoint "Competent Advice". This is provided by the professionally qualified staff of the HSW Department under the responsibility of the Head of Health, Safety and Wellbeing. All staff acting in this capacity will be (as a minimum) Chartered Members of the Institution of Safety and Health (CMIOSH) or Student, Affiliate, Technical or Certified Member of IOSH with development plan to achieve Chartered status.

Main responsibilities:

- Ensure compliance with the Council's legislative obligations and lead continuous improvement of HSW Management

- Comply with IOSH Code of Conduct and undertake regular IPD / CPD to maintain Chartered Membership status and appropriate level of competence.
- Ensure an effective HSW Policy is implemented and embedded across the Organisation.
- Ensure an effective HSW culture is embedded, underpinned by a suite of policies and practices which demonstrates the Councils position as a proponent of best practice in the field of HSW management.
- Develop and monitor a suite of Key Performance Indicators (KPI), metrics and local targets which support the corporate vision and objectives.
- Provide advice and information to staff, contractors, visitors and others across the organisation.
- Provide expert advice to the Chief Executive and CMT on HSW related matters working directly under the responsibility of the nominated executive lead for HSW.
- Provide strategic HSW leadership across the organisation.
- Hold a holistic role across the organisation, supporting projects and collaborating with Directorates and Services to drive innovation and action against a shared vision.

## 2.5. COMPETENT FIRE SAFETY ADVICE

The Regulatory Reform (Fire Safety) Order 2005 requires the Council (Chief Executive) to appoint a competent person to assist in undertaking any of the preventative and protective measure required by the order.

Main responsibilities:

- Support the Head of Health, Safety and Wellbeing to ensure the day-to-day management of Fire Safety across the organisation.
- Support nominated Fire Marshals across the organisation in their role and provide adequate training.
- Undertake (or commission) and, where appropriate, revise Fire Risk Assessments on all premises within appropriate timescales.
- Ensure a training programme is provided for general staff regarding fire safety awareness.
- Liaise with the Facilities Department on all matters relating to fire safety across the estate premises ensuring that corrective actions are followed up, escalating any issues where required.
- Act as competent fire consultant for all construction / refurbishment projects managed by the organisation.
- Liaise with the Devon and Somerset Fire and Rescue Service on all statutory fire safety matters.
- Ensure all fire incidents are investigated, controls implemented, and lessons shared.
- Ensure that Personal Emergency Evacuation Plans (PEEP) are in place for all staff and students in schools that require one.

## 2.6. SPECIALIST / DESIGNATED HSW ROLES

The schematic below details the HSW Department and the relationship with other HSW specialists both employed and contracted and those with accountable or nominated / designated HSW roles across the Council



## 2.7. HEALTH, SAFETY AND WELLBEING (HSW) COORDINATORS

There is no legal requirement to nominate a service HSW Coordinator, however, CMT have agreed that all services must appoint, or arrange access to a HSW Coordinator to support Strategic and Service Directors and Heads of Service discharge their HSW management responsibilities. Appropriate training commensurate with this role will be provided through the HSW Department.

If no HSW Coordinator is nominated then the Service Directors, through Heads of Service will fulfil the role and associated activities.

The HSW Coordinator will normally be appointed according to the level of risk in their area of responsibility see table below for guidance:

Risk Level of Service or Area *	Competency Required for HSW Coordinator Role
<b>High risk</b>	Specialist technical managers, Team Leaders competent in their area of work, with appropriate level of authority and ability to make autonomous decisions.

<b>Medium risk</b>	Technicians / Team leaders competent in their area of work in a supervisory role; decision-making may need escalation.
<b>Low risk</b>	Staff at all grades, competent in their area of work, normally supervised.
<b>*Key</b>	
High Risk	Technical / workshop / waste services / construction site areas with additional hazards or high-risk activities – those with the potential to lead to serious harm or death e.g. biological materials, machinery, chemical processes
Medium Risk	Technical or areas with medium risk activities e.g. Schools
Low Risk	Office / general environments and low risk activities

HSW Coordinators will require sufficient time to discharge their duties effectively and should have the necessary expertise and the authority to perform these duties. They should also be involved in the decision-making process for all local safety matters.

All nominated HSW Coordinators will have this element of their role documented and reviewed through the RPD process.

The HSW Coordinator should act as a focus for the flow of HSW information to and from and within their Service.

Where there are more than one HSW Coordinators within a Directorate or Service, a lead coordinator can be identified locally in order to ensure consistency across that area.

Main duties:

- To keep up to date with the requirements of Council policies and performance standards and to promote a positive HSW culture within their area of responsibility.
- To assist the Head of Service with ensuring that the HSW management in that area complies with this HSW Policy.
- To assist the Head of Service with the preparation of the Directorate / Service HSW Plan and any local HSW operational procedures, and monitor the effectiveness of both) - Managers Toolkit.
- To work in partnership with the HSW Department and Trade Union Safety Representatives, acting as a positive role model for HSW leadership.
- To be a member of the appropriate Service HSW / Sub JCC Committee where formed and submit reports as requested.
- Ensure that all HSW accidents, incidents and near misses in their area are reported and investigated in accordance with [HSPS 10 – Incident Management](#)
- Disseminate the necessary information, instruction and training to enable local staff, contractors, visitors and others to perform their work in a safe manner and encourage and support their attendance at relevant PCC and external safety training events.
- To deliver local HSW inductions to new staff, contractors, visitors and others in their area of responsibility.
- To maintain official HSW notices, including fire and first aid information.
- To support managers with the preparation of local risk assessments.



- To ensure that DSE self-assessment checklists are undertaken by all staff within their area of responsibility (unless there is a nominated DSE Assessor in place). Ensuring that any follow-up workplace assessments are undertaken where required.
- To undertake HSW inspections and cooperate with the HSW Department and managers with audits.

## 2.8. OCCUPATIONAL HEALTH PROVISION

Occupational Health Services are provided by Medigold Health on behalf of the organisation. The role of the Occupational Health Service is to support and promote the HSW of PCC staff. See the [Wellbeing Site](#) for more information.

Main responsibilities:

- Health surveillance as required under COSHH Regulations 2002 and any other legislation or guidance.
- Confidential appointments for staff for HSW issues.
- Providing reports for line managers which includes rehabilitation plans / fitness for work advice.
- Providing advice on request from managers or the HSW Department following issues identified through workplace / workstation assessment processes.

## 2.9. HARD AND SOFT FM SERVICES (AND DIRECTORS OF SERVICES UNDERTAKING CONSTRUCTION, DEMOLITION, REFURBISHMENT PROJECTS AND ACTIVITIES)

Hard FM is concerned with PCC physical assets and buildings and related utilities.

Soft FM is concerned with maintaining a clean, efficient and safe environment for employees to work in and the public to utilise.

The FM Services Department takes the operational lead for PCC site safety and security for all users and ensures compliance with the following areas of HSW across the organisation in partnership with the HSW Department:

- Asbestos management
- Legionella (and general water safety) management
- Gas safety management
- Electrical safety (high and low voltage) and PAT Testing
- Lifting operations and lifting equipment installation and maintenance (management of passenger and goods lifts)
- Some elements of pressure vessel safety
- Control of work in confined spaces
- PCC transport issues
- Lockdown (security of buildings).
- Construction safety including the Construction (Design and Management) Regulations (CDM) 2015

In addition:

- The relevant Service Director will act as the 'Client' for all construction work carried out under the CDM Regulations under the control of their service. They must ensure that appropriate processes are in place to plan, design, direct and monitor these activities.
- Where required in accordance with specific legislation, Accountable Persons will be appointed formally in writing by the appropriate Director (e.g. Asbestos, Water Hygiene, Electricity etc.).
- Retain overall responsibility for the way any FM work activities are carried out in local authority schools whilst head teachers and the school management team/manager have autonomy in the day-to-day running of their schools
- Where there is reason to believe that the health, safety or wellbeing of employees or others is at risk, this team has the authority to temporarily suspend or stop any unsafe system of work or process undertaken by a Council employee or service (irrespective of their position within the Council) including any contractor.

## 2.10. TRADE UNION SAFETY REPRESENTATIVES

The Council recognises the valuable contribution that employees make to sustaining and improving HSW standards. Safety representatives appointed by recognised trade unions or employee groups will:

- Be consulted, in line with the governance structure and in good time, on HSW matters relating to employees.
- Lead representatives will attend meetings as appropriate and sit on the Joint Strategic Consultative Forum.
- Have the necessary facilities to carry out their duties, including reasonable time off from normal duties.
- HSW Policy Management Arrangements Section 3.2.2 provides guidance on delivering and receiving effective HSW communications throughout the organisation.

[Click here](#) for link to TU Engagement Flowchart.

Recognised trade unions wishing to nominate safety representatives should, in writing, advise the Director of HROD and Head of Health, Safety and Wellbeing.

## 2.11. FIRE MARSHALS / WARDENS

Staff expected to undertake the role of Fire Marshal / Warden require detailed knowledge of the fire strategy for the premises they are responsible for and must receive comprehensive training in order to competently fulfil this role.

Main responsibilities:

- Assist those within the premises to leave
- Check the premises to ensure everyone has left
- Use firefighting equipment if it is safe to do so
- Liaise with the security and/or fire and rescue service on arrival

- Shut down vital or dangerous equipment
- Perform a supervisory / managing role in a fire situation
- In multi-occupancy buildings liaise with other nominated Fire Marshals with responsibility for that building
- Undertake and record quarterly fire inspection checks within their areas of responsibility.

All nominated Fire Marshals / Wardens will have this element of their role documented through the RPD process.

## 2.12. FIRST AIDERS

The Health and Safety (First Aid) Regulations place a general duty on the organisation to make adequate first aid provision for all employees should they be injured or become ill at work. Each Service must ensure that they provide in the buildings and work areas under their control, the following:

- A number of properly stocked first aid boxes appropriate to the risks of accidents or injuries that could arise from the activities in the work area and / or building. These boxes must be placed in the care of a qualified First Aider who will be responsible for review and replenishment.
- Access to the services of one or more qualified First Aiders as appropriate to the work area or building.
- Notices giving the names and locations of the qualified First Aiders and the locations of the first aid boxes.
- Certain high-risk services may need to provide a first aid room where the risk indicates this and training and resources appropriate to the nature of any foreseeable injuries.
- Where a building is occupied outside of normal working hours, the Head of Service must make arrangements to provide adequate and first aid cover for the potential accidents or injuries taking into account the type of activities being carried out during these times.

All nominated First Aiders will have this element of their role documented through the RPD process.

*Note:* The HSE also requires that Mental Health First Aiders be considered in First Aid Needs Assessments.

## 2.13. WELLBEING CHAMPIONS

Wellbeing Champions play a key role in developing and supporting a culture that contributes to improved mental, physical health and wellbeing. Champions support the delivery of the Health and Wellbeing Action Plan, working to embed health and wellbeing at a departmental level. Local work areas benefit through increased engagement around health and wellbeing matters, improved employee health, both physical and mental as well, as improved culture within the working environment.

The role may include:

- Liaising with the HSW Department on wellbeing interventions

- Attending Health and Wellbeing Committee meetings if required
- Providing updates at local service level HSW / JCC Committees
- Organising / promoting activities and events
- Encouraging staff to access relevant health and wellbeing opportunities
- Collaborative working with other champions
- Sharing best practice and stories of success with the Health and Wellbeing Committee representatives
- Signposting staff to relevant resources and services including the [Employee Assistance Programme](#)
- Role modelling and promoting a healthy culture within the organisation
- Inputting into health and wellbeing reviews/audits e.g., asked to provide evidence by way of documentation or interview.

#### 2.14. DISPLAY SCREEN EQUIPMENT (DSE) ASSESSORS

Display Screen Assessors are nominated by managers to support them to manage DSE assessments at a local level.

A DSE Assessor is a person trained to complete DSE risk assessments and provide basic advice and guidance to users on appropriate controls.

This role may include:

- Liaising with local HSW Coordinators and managers
- Ensuring that all staff complete a DSE assessment within three weeks of starting in post and thereafter as required, particularly if workstations or personal circumstances change
- Coordinating all local work area DSE information and maintaining records.
- Liaising with the HSW Team where issues cannot be resolved and specialist advice may be required

#### 2.15. EXECUTIVE PERSONS IN CONTROL OF BUILDINGS (EPICs)

EPICs are the most Senior Person allocated to a building, asset, or group of buildings and / or assets, who are accountable for ensuring that these are fit for purpose for the activities that take place on or within. In the event of the HSE inspection of a building, this is the person they will request to see.

This accountability is discharged through:

- Being assured there is a suitably competent person to act as PIC, where there is not a substantive post holder
- Being assured that there is time for relevant PIC training and operational activities identified in the PIC log book
- Being assured that there are suitable and sufficient local management arrangements for the provision of Fire Wardens and First Aiders in their area of accountability as applicable
- Being assured that facility based risks are managed and escalated as appropriate.
- Being conversant with the inherent risks of any asset / facility and carrying out periodic monitoring activities to be assured that risk is being managed appropriately, and to escalate any concerns to the Head of Health, Safety and Wellbeing / FM Manager

## 2.16. PERSONS IN CONTROL OF PREMISES (PICs)

Persons in Control are responsible to manage buildings and asset related operations and risk. PICs will:

- Ensure, in line with HSW standards, workplaces in their control are fit for purpose
- Develop property management procedures in line with HSW standards.
- Be satisfied that property in their control is compliant with relevant legislation and HSW standards.
- Be given suitable time and resources to carry out their duties
- Ensure their own attendance on relevant PIC training
- Manage site operations, including contractors, in line with HSW standards and property management arrangements developed by Facilities Management.
- Report to EPIC any risks to the health, safety and wellbeing of asset / building users in a timely way, and engage with FM to resolve such risks.

### **3. ARRANGEMENTS**

#### **3.1. GOVERNANCE ARRANGEMENTS**

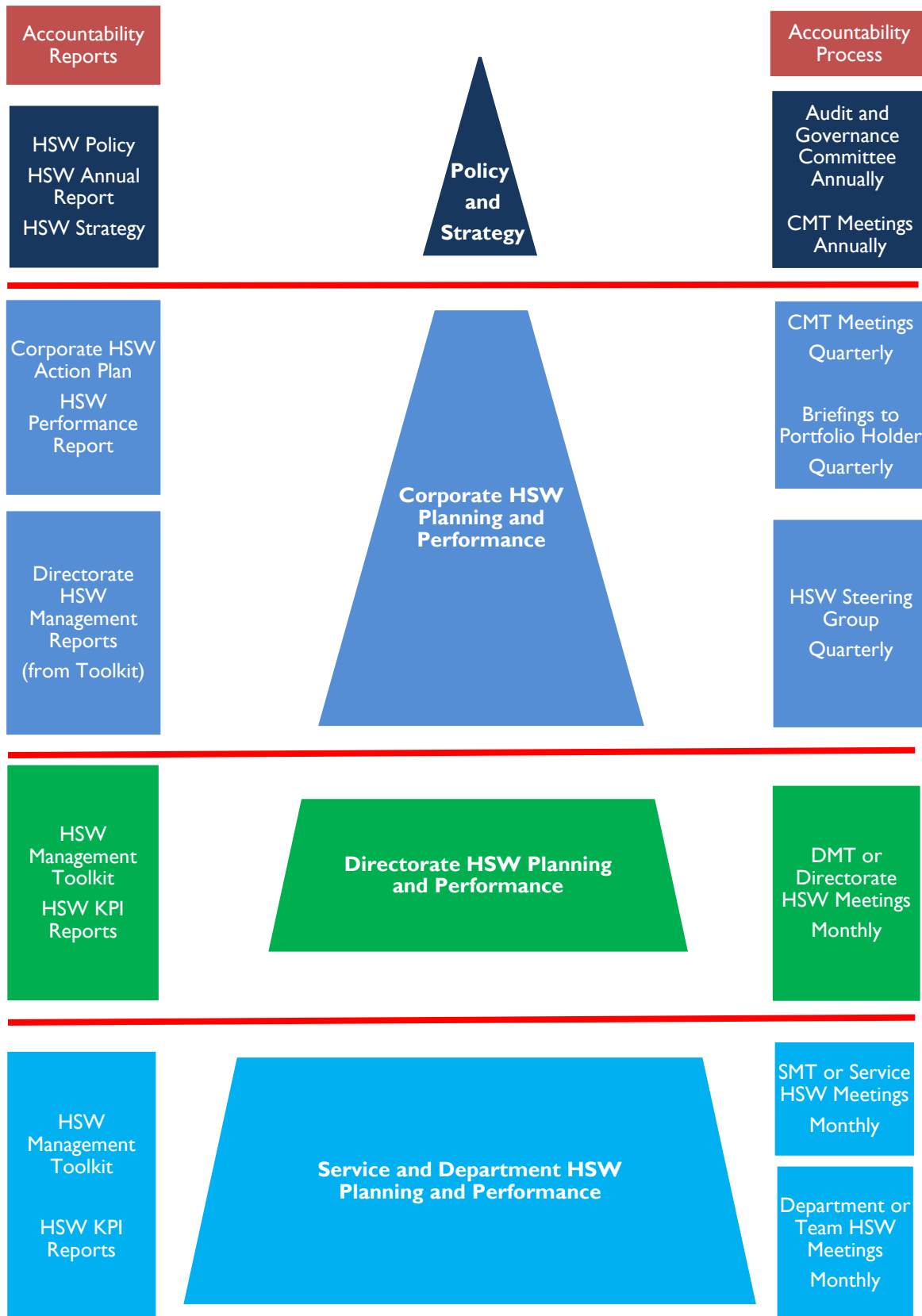
Due to the size and diversity of the Council it is not possible, in one document, to explicitly identify all health, safety, wellbeing and risk management arrangements (policies, procedures, arrangements).

A suite of health, safety and facilities management performance standards have therefore been published by the Health, Safety and Wellbeing Department and FM Services on staff room, to provide detailed guidance on specific workplace hazards.

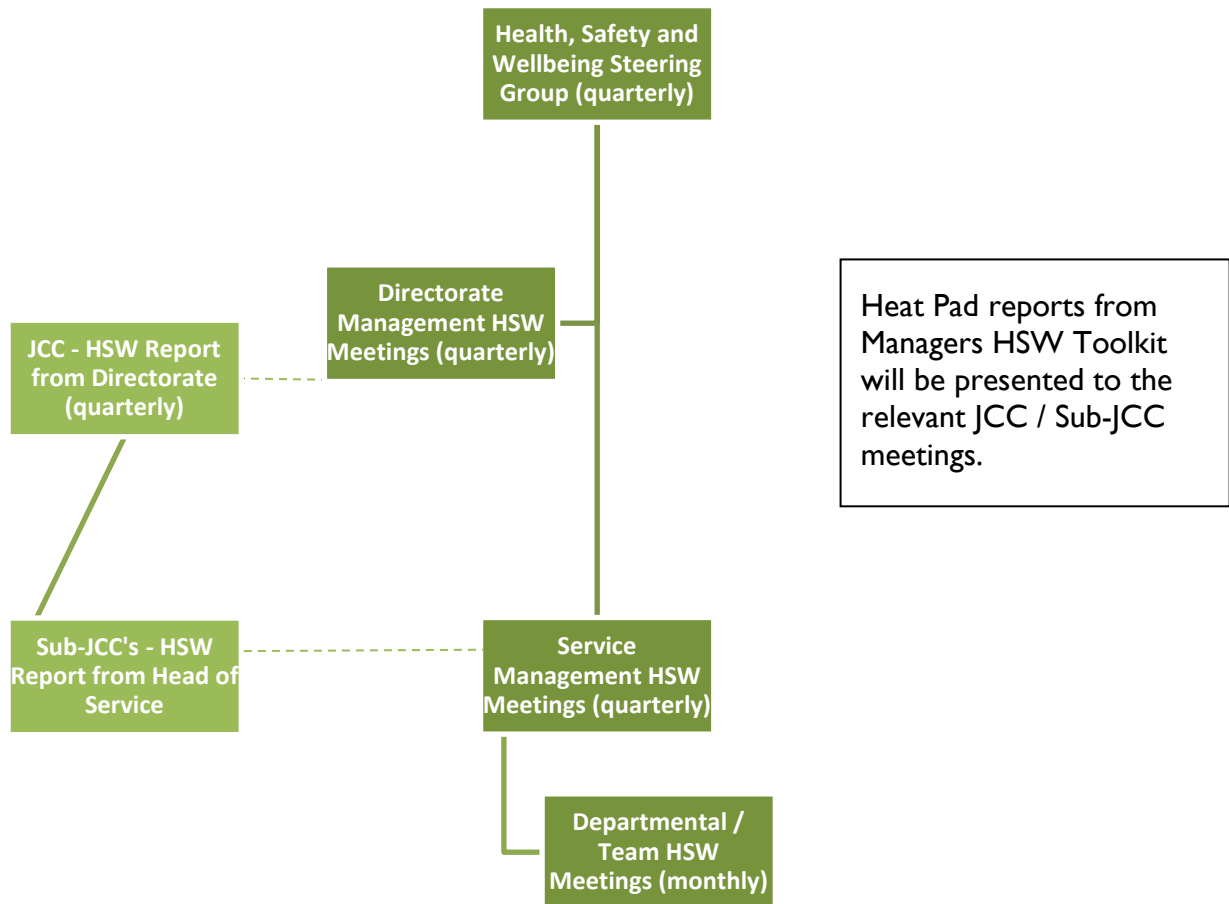
Adhering to these standards is expected to ensure organisational compliance with the Health and Safety at Work Act 1974, the Management of Health and Safety at Work Regulations 1999 and other relevant health and safety regulations to the Council's work activities.

[Click here](#) for link to health and safety performance standards on staff room.

3.2. ASSURANCE ARRANGEMENTS  
 3.2.1. HSW Planning and Performance Assurance Framework



### 3.2.2. HSW Management – Engagement with Trade Unions



### 3.2.3. Council and Audit and Governance Committee

The Council, through the Audit and Governance Committee has overall accountability for the strategy of PCC and is responsible for strategic oversight of all matters related to HSW for the Organisation. Council and Audit and Governance Committee seeks assurance from the Corporate Management Team (CMT) that effective arrangements are in place and are working. Implications for HSW must be cited in all decision-making reports submitted.

### 3.2.4. Corporate Management Team (CMT)

CMT is required to demonstrate ownership of the Organisation’s HSW Policy and to communicate and role model its values and expectations across the Organisation.

CMT must ensure that HSW is given equal consideration alongside other corporate risks e.g. environmental, financial, business, reputation.

CMT must also gain assurance that HSW responsibilities are being fulfilled and to ensure adequate resources are made available at all organisational levels.

CMT must understand the range of HSW risks across the organisation and ensure proportionate attention is given to each of them. Risks that cannot be mitigated at local



level will be escalated to the Corporate Risk Register (as described in the PCC Risk and Opportunities Strategy).

### 3.2.5. HSW Steering Group

The purpose and objectives of the HSW Steering Group are as follows:

The purpose of the steering group is to:

- Provide corporate leadership for HSW
- Drive continuous improvement in HSW culture and practice
- Agree and monitor a clear set of assurance and success measures
- Make decisions and recommendations about the targeting of resources to address areas of highest risk and resolve process issues

The objectives are to:

- Monitor the HSW Corporate Action Plan and Strategy
- Set required standards and review performance (i.e. KPIs)
- Ensure the consistent implementation of the Council's HSW policies and standards
- Provide a formal mechanism for communicating important information, including legal requirements, case law and best practice (communicated onwards via Directorate/Department/Team Meetings, Joint Consultative Committees (JCCs)/subgroups etc.)
- Report on key issues, including the submission of regular reports:
  - Quarterly to the Corporate Management Team (CMT) and Lead Trade Union Representatives at respective JCC's
  - Annually to the Audit and Governance Committee

### 3.3. ARRANGEMENTS FOR SHARED WORKSPACES AND PREMISES

PCC is responsible for the HSW of all staff, contractors, visitors and employees of other organisations, working on its premises. Where two or more employers share the workplace there must be demonstrable evidence of co-operation and co-ordination of HSW measures. Where the activities of different employers interact their senior and local managers must co-operate with their counterparts to ensure their respective statutory obligations are met. This will include:

Exchanging information on risks in the work environment and safe systems of work

Co-operating on implementing evacuation procedures, first aid arrangements, security and waste disposal. Routine inspections in common parts of the premises.

### 3.4. INCIDENT REPORTING

All accidents, incidents, near misses and instances of occupational ill health must be reported to the HSW Department using the [Evotix Assure](#) online incident reporting system as soon as practicable (at least within 7 days) in accordance with [HSPS10 Incident](#)

**Management.** Serious incidents must be reported by telephone (5)88555 immediately.

### 3.5. ENFORCEMENT

The Organisation is subject to both planned and unplanned visits by HM Inspectors from the Health and Safety Executive (HSE), Devon and Somerset Fire and Rescue Service and other relevant enforcing authorities (Ofsted, CQC etc). Recommendations arising from these visits are generally received in the form of a formal letter sent to the Organisation's senior management.

There is a system of notices and formal action which may be served on the Organisation, this may include the immediate termination of dangerous activities.

If an inspector deems that a material breach has occurred, they are able to charge the Organisation a Fee for Intervention (FFI).

An inspector may, in the event of a fatality, carry out a joint investigation with the Police with a view to establishing whether there is evidence of corporate manslaughter on the part of any corporate body or gross negligence manslaughter on the part of any individual in which case a prosecution will be brought by the Crown Prosecution Service. HSE Inspectors themselves may institute prosecutions for breach of HSW legislation against any individual or corporate body including the Organisation under the Health and Safety at Work Etc. Act 1974

Departments and Services must inform the Health, Safety and Wellbeing Department immediately if the HSE make contact with them on any matter relating to Organisation activities. A member of the HSW Department will accompany HSE representatives on their visits wherever possible.

Refer to the Guidance for Investigations into Critical HSW Incidents at Appendix B.

### 3.6. NEW FACILITIES AND EQUIPMENT

HSW must always be taken into consideration when planning a new facility or upgrading or refurbishing an existing one. It is essential that the designers / architects consult at an early stage with the users as to specific requirements and it is recommended that a member of the HSW Department attend early project design meetings to ensure that HSW matters are raised and considered and that appropriate expertise is made available.

Equipment should be selected after careful consideration (using the risk assessment process) of all requirements including specific HSW requirements such as mechanical ventilation, space, utilities, cost considerations, disposal, compliance with HSW legislation and guidance.

All equipment must be logged on the asset management system.

### 3.7. YOUNG PEOPLE AND CHILDREN

Young people and children may be in PCC buildings for work or planned events, where their activities are managed in accordance with the requirements therein and only following a thorough risk assessment.

Young people and children may also be present on the PCC premises for a number of other reasons not directly related to work. For example:

- For access along with other members of the public, to public events and facilities, gardens, parks, sports facilities or other leisure facilities
- During events, open days etc
- Where they are enrolled in established schools, nurseries or crèches
- On rare occasions, where special events have been arranged for staff who may have infants or young children.

Children and young people must be accompanied while in PCC work premises and must not be permitted unsupervised access even to low risk areas. Children and young people must not be permitted access under any circumstances to areas where there may be significant hazards present.

Parents / carers must not bring children into their workplace or study areas as an alternative to arranging appropriate childcare.

Parents / carers cannot delegate their responsibilities for supervising children and young people whilst on PCC premises unless the children are in the temporary care of professional childcare / educational providers.

For more details regarding work experience please refer to the [Schools Work Experience Scheme – Managers Guide](#).

### 3.8. DOMESTIC ANIMALS IN PCC BUILDINGS

With the exception of Registered Assistance Dogs, staff are not permitted to bring pet animals into PCC buildings. If present on the grounds the owner is required to be responsible for the safe removal of animal waste and all dogs must be kept on a lead.

Nonregistered dogs such as support/therapy dogs may be permitted at local manager discretion following a suitable and sufficient risk assessment.

Animals can present particular risks in the working environment causing allergies, bites or scratches, or the production of waste material, which can have its own particular health risks. Additionally animals can present a trip hazard to staff or visitors.

Registered Assistance Dogs, for example, those accompanying the visually or hearing impaired will normally be permitted unrestricted access to PCC premises. However, the nature of risk in particular areas such as waste processing sites, workshop environments etc may make it necessary to limit or restrict access to such animals. Conducting a risk assessment of the working environment will determine the appropriate precautions for specific circumstances.

### 3.9. HEALTH, SAFETY AND WELLBEING PERFORMANCE STANDARDS

A suite of health, safety and facilities management performance standards have been published by the Health, Safety and Wellbeing Department and FM Services on staff room, to provide detailed guidance on specific workplace hazards.

Adhering to these standards is expected to ensure organisational compliance with the Health and Safety at Work Act 1974, the Management of Health and Safety at Work

Regulations 1999 and other relevant health and safety regulations to the Council's work activities.

[Click here](#) for link to health and safety performance standards on staff room.

Local procedures and guidance can be developed by Services in order to provide further details to staff within that area to ensure compliance with PCC HSW Policy and Performance Standards.

The HSW Department can provide additional supporting information relating to specific risks if required.

### 3.10. COMPETENCE AND TRAINING

Truly effective health and safety management requires competency across every facet of an organisation and through every level of the workforce.<sup>1</sup>

Competence is the ability to undertake responsibilities and perform activities to a recognised standard on a regular basis. It combines practical and thinking skills, knowledge and experience. It is essential that staff at all levels, should be competent to undertake the HSW responsibilities commensurate with their role.

Local management should assess any training needs for their direct reports and put in place arrangements for suitable training. This can be recorded and monitored by licenced managers on the [Evotix Assure system](#).

Advice on the levels of training that would be deemed reasonable can be obtained from the HSW Department, but an overview can be seen at [Appendix A](#)

<sup>1</sup> *The health and safety of Great Britain: Be part of the solution* ([www.hse.gov.uk/strategy/document.htm](http://www.hse.gov.uk/strategy/document.htm)).

### 3.11. INSPECTION, MONITORING, AUDIT AND SUPERVISION

#### 3.11.1. Inspections

Inspections mainly involve observation of facilities and working practices with a view to assessing whether standards are adequate when compared to those required for the particular work activities. The purpose is to identify any unsafe or unhealthy conditions or work practices that may already be occurring and prevent any arising in the future.

Heads of Services and Departments must ensure that regular and systematic local HSW inspections are carried out across their area of responsibility (with the support of HSW Coordinators). Refer to the [HSPSI6 Workplace Inspections](#).

Where it is identified that improvements need to be made, these must be implemented and records retained. Inspection records will be used as evidence for HSW audits.

#### 3.11.2. Monitoring

Monitoring and analysis of accidents, incidents and near misses is vital in order to identify trends and patterns so that remedial action can be taken to prevent recurrence or escalation.

The HSW Department monitors all incident reports and will ensure that where appropriate these are reported either internally within PCC or externally to enforcing authority (e.g. as required under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013).

Heads of Services and Departments must ensure that all incidents are reviewed and investigated to a proportionate level, putting in place mitigation controls in order to prevent recurrence.

Refer to [HSPS10 Incident Management](#).

### 3.11.3. Audit

Audit is an essential element of the HSW management system ensuring continuous improvement. The PCC [HSPS12 – Audit](#) lays out the system for critically analysing PCC's HSW management processes to determine how effective and consistent these are across all service areas.

The audits will provide a tool for measuring HSW performance and for identifying and implementing remedial actions.

The HSW Department will lead and advise on the audit programme, however Heads of Services and Departments must actively demonstrate their commitment to this process and ensure that appropriate staff at a local level are released to take part in the audit programme.

### 3.11.4. Supervision

All staff who supervise work carried out by others are responsible for ensuring their HSW. This applies not only to work carried out on PCC premises but also to PCC work carried out elsewhere either in the UK or abroad. The degree of supervision must have reasonable regard for the level of training and expertise of the staff being supervised.

The Organisation has a duty to ensure that staff do not create unsafe conditions by unauthorised initiatives and supervision must be adequate to meet this requirement. Accordingly, prior to the commencement of any hazardous work or activity, the supervisor should undertake and communicate suitable and sufficient risk assessments and operating procedures which seek to minimise foreseeable risks. The supervisor must maintain appropriate supervision for the duration of the work.

## 3.12. REVIEW

This policy will be reviewed in full every three years or earlier if there is a change in evidence.

## 3.13. HSW POLICY SUPPORT

Should you have any queries regarding the Corporate HSW Policy, please contact the Corporate health and Safety Team on 01752 312523 or [healthandsafety@plymouth.gov.uk](mailto:healthandsafety@plymouth.gov.uk) or Corporate FM Team on 01752 304588 or [Facilities.Management@plymouth.gov.uk](mailto:Facilities.Management@plymouth.gov.uk)

## APPENDIX A TRAINING MATRIX

Staff	HSW Mandatory eLearning	Local Area Induction	Leading for Health & Safety	H&S Managers Training	IOSH Managing Safely	HSW Coordinator Training	Fire Marshal	Fire Evacuation Chair	Manual Handling Assessor	Manual Handling Awareness	COSHH Assessor	COSHH Awareness	Incident Investigation	DSE Assessor	H&S Risk Assessment	First Aid at Work 3 Day +	Mental Health First Aid	SIA Security	Work at Height Awareness	CDM Regulations	PICS and EPICS Training
Level 1	x	x	x																		
Level 2	x	x	x																		
Level 3	x	x	x																		
Level 4	x	x		x	x								x								
Level 5	x	x		x	x								x								
Level 6 x risk-based				x	X								x								
Level 7	x	x																			
HSW Coordinators High and Medium Risk	x	x			x	x							x								
HSW Coordinators Low Risk	x	x				x															
Security Personnel	x	x																x			
Assessors or approvers of COSHH Substances risk assessments	x	x									x										
Users of COSHH Substances	x	x										x									

Staff	HSW Mandatory eLearning	Local Area Induction	Leading for Health & Safety	H&S Managers Training	IOSH Managing Safely	HSW Coordinator Training	Fire Marshal	Fire Evacuation Chair	Manual Handling Assessor	Manual Handling Awareness	COSHH Assessor	COSHH Awareness	Incident Investigation	DSE Assessor	H&S Risk Assessment	First Aid at Work 3 Day +	Mental Health First Aid	SIA Security	Work at Height Awareness	CDM Regulations	PICS and EPICS Training
Fire Marshals	x	x					x	x													
First Aiders	x	x														x					
Mental Health First Aiders	x	x															x				
Capital / Minor Works Project Managers / Procurement	x	x			x															x	
Events Teams	x	x			x															x	
Assessors of Manual Handling Processes	x	x							x												
Staff undertaking manual handling processes	x	x								x											
Staff undertaking or approving general risk assessment	x	x													x						
Staff undertaking WAH risk assessments	x	x																	x		
PICS and EPICS	x	x						x													x

**Note:** Some roles require hazard specific training e.g. confined spaces, welding, fork lift truck driver, abrasive wheels, electrical safety, lifting people, conflict resolution. Seek advice from the Health, Safety and Wellbeing Dept.

## **APPENDIX B**

# **GUIDANCE ON MANAGING INVESTIGATIONS INTO CRITICAL HEALTH AND SAFETY INCIDENTS**



**This document is designed to give practical assistance to Plymouth City Council Health, Safety and Wellbeing Department when dealing with investigations into health and safety incidents by the regulatory authorities. The document supplements the organisations Emergency Management arrangements and plans and should be read in conjunction with those plans.**

**Health and Safety incidents have the potential to cause significant financial and reputational damage to the organisation and can lead to criminal prosecutions not only of the organisation but also of individuals within it. Accordingly, it is essential that investigations by regulatory bodies into health and safety incidents are accorded the upmost priority and dealt with efficiently.**

### **Who will conduct external investigations into health and safety incidents?**

If the incident leads to a fatality or injuries which could reasonably be expected to lead to a fatality the initial investigation will be conducted by the Police in conjunction with either the Health and Safety Executive ("HSE") or Local Authority ("LA"). Whether it is the HSE or LA will depend on the work activity giving rise to the incident. For example, the LA will be the enforcing authority if an incident occurs in office premises whereas HSE will be the enforcing authority if the incident arises from construction work. In this document the enforcement authority will be referred to as HSE but should an investigation fall to be led by the LA the LA's powers are identical to those of HSE

### **Role of the Police**

The role of the Police is to investigate whether there is any evidence of gross negligence manslaughter on the part of any individual and/or corporate manslaughter on the part of any organisation including PCC.

Any investigation into fatalities will be conducted under the Work-Related Death Protocol. The Police will retain primacy (ie lead) for the investigation until they are satisfied that there is no evidence of gross negligence or corporate manslaughter. At that point primacy will pass to HSE.

In addition the Police will, as will HSE, gather material which will be passed to the Coroner in due course for use at any Inquest.

### **Powers of the Police**

Powers granted to the Police are relatively limited. They can arrest an interview under caution person suspected of gross negligence manslaughter and invite organisations to attend interviews under caution in connection with suspected offences of corporate manslaughter (although they have no power to compel an organisation to attend an interview under caution).

In addition the Police may invite persons considered to have information relevant to the investigation to attend a Police station at an early stage for what is known as a "significant witness" interview. In addition the Police can take witness statements (often referred to as "Section 9" statements) from witnesses.

In terms of documentation the Police can apply for a warrant to enter premises and seize documentation/material relevant to their investigation. In practice, in investigations of this nature, Police will generally ask for documentation to be provided on a voluntary basis.

### **Role of the HSE**



The HSE will provide preliminary support and technical input to the Police investigation.

In addition HSE will be looking to see whether there is any evidence of breach of health and safety legislation on the part of any individual and/or organisation. If HSE is satisfied that there is a breach of health and safety legislation then it has a range of enforcement options open to it including:

- Service of a Notification of Contravention – this triggers liability for payments under the Fee For Intervention ("FFI").
- The service of Improvement and/or Prohibition Notices
- Prosecution of organisations and/or individuals

### **Powers of the HSE**

The HSE has, under Section 20 HSWA 1974, very wide statutory powers which it can use in the course of its investigation. They include statutory powers to:

- Enter premises
- Make such examination and investigation as may be considered necessary
- Direct that premises or any part of them shall be left undisturbed
- Take measurements and photographs
- Take samples of any articles or substances
- Cause any article or substance to be dismantled or subject to process or testing
- To take possession of and detain articles or substances
- Require persons to give information relevant to the examination (ie answer questions)
- Require the production of or inspect and take copies of documents
- Require any person to afford such a facilities and assistance as are necessary

It is an offence to obstruct an HSE inspector in the course of exercising any power under Section 20 HSWA.

### **The role of PCC Health, Safety and Wellbeing Team in dealing with investigations**

It is essential that PCC develops a good working relationship with external bodies conducting health and safety investigations. If it does not then, in the event of a prosecution, there may be significant financial and reputational consequences as the organisation will only be given credit for co-operation with the investigation if it is "*over and above that which is always expected*".

From PCC's perspective it is essential that the investigation is properly managed from the outset. This can be achieved in the following ways:

- Ensuring that there is a principal point of contact between PCC and the investigatory authorities (usually a member of the Health, Safety and Wellbeing Department, or Street Services Health and Safety Advisor)
- Agreeing with the investigatory authorities that all requests for documentation and/or interviews of PCC personnel should be made through the nominated contact

- Ensuring that requests for documents/interviews are responded to promptly
- Ensuring that prompt and proper consideration is given to the service of any Improvement and/or Prohibition Notice
- Ensuring that copies are kept of all documents provided to the investigation and clearly identified as having been provided on a voluntary basis or following a request under statutory powers.
- Identifying and collating, at the outset of an investigation, documents which are likely to be requested by the investigatory authorities
- Ensuring that the CEO and CMT is kept informed of developments in the investigation
- Ensuring that HROD, Occupational Health, EAP services are available to provide support to staff – investigations can be stressful and demanding
- Liaising with PCC Comms Team to deal with media interest that a high-profile investigation will attract
- Ensuring that the team has access to round the clock legal advice

### Checklist

Details of Contact	
Date	
Time	
Name of HSW Team Member Receiving Contact	
Name & Job role of Person Making Contact	
Responsible Person on Site & Job Role	
Directorate/Division/Service/Team	
Location of Incident	
Contact details	

### Immediate Actions:

Issue	Detail/Action/Advice Given	Completed
Establish the status of any injured persons - offer advice if needed.		<input type="checkbox"/>
Establish that emergency services / first aiders have been called and/or are in attendance.		<input type="checkbox"/>

Ensure that all others are safe and have not put themselves in danger.		<input type="checkbox"/>
Take down brief details of the incident including date and time.		<input type="checkbox"/>
Advise on preserving the scene ahead of HSW attendance.		<input type="checkbox"/>
<b>Decision - which member of the team will take the Lead Officer role - this will be the Duty HSW Consultant or most available HSW Consultant but Head of HSW will oversee.</b>		<input type="checkbox"/>

### Immediate Actions For Lead Officer

Issue	Detail/Action/Advice Given	Completed
Decide on whether more than one member of the team should attend site and – lead officer to make the decision in consultation with Head of HSW or Duty HSW Consultant		<input type="checkbox"/>
Either contact the identified security / incident officer or manager in control of the site and arrange to go to site to meet them, supporting the investigation.		<input type="checkbox"/>
Before going on site, establish what resources are needed and ensure that the Grab Bag is available. Ensure that relevant personal PPE is taken (e.g. safety footwear, hi-vis jacket, hard hat, safety coat).		<input type="checkbox"/>
Ensure you have a mobile phone with you and that it is charged.		<input type="checkbox"/>
Establish a record of contact and evidence log to record a timeline and all evidence, for example, including emails, phone calls, conversations, meetings and documents. This information, ordered by reference number, should be transferred to an S Drive Folder related to the incident investigation and maintained throughout the investigation.		<input type="checkbox"/>

### Immediate Actions On Site

Issue	Details/Action/Advice Given	Completed
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Ensure that any injured persons have been provided with medical/first aid treatment.		<input type="checkbox"/>
Ensure there is no ongoing risk to any other persons, e.g. from fire, electricity, gas, vehicles, plant and machinery, substances, etc.		<input type="checkbox"/>
If there is ongoing risk to persons, ensure that all persons are evacuated to a safe area/site until safety is established. You may need to work with emergency services and utility services to establish safety on site.		<input type="checkbox"/>
Ensure that the scene is preserved – use of hazard tape, photographs, sketches.		<input type="checkbox"/>
If not already in place, establish security for the site – no unauthorised persons should be permitted on site.		<input type="checkbox"/>
Note: In incidents involving fatalities, once rescue operations have concluded the Police will assume control of the site and commence the process of evidence gathering, and if necessary body recovery from the scene. From this point onward the scene will be treated as a scene of crime, under the direction of the Senior Investigation Officer and access will be limited accordingly, until such time as the Police release the scene.		<input type="checkbox"/>

### Ongoing Investigation

Issue	Details/Action/Advice Given	Completed
If the Police and/or any other enforcement agency have taken primacy for the incident, make yourself known to them and inform them that the HSW team will support their investigation.		<input type="checkbox"/>
Ensure a base, with all relevant resources, is established for enforcement agencies to carry out their investigations and ensure there is co-operation with any investigation.		<input type="checkbox"/>
A member of PCC HSW staff should be nominated to act as the focal point with the external investigating authority to deal with requests for documentation and the interviewing of employees. Communicate this with the investigating officer.		<input type="checkbox"/>

Manage media relations – ensure no media is permitted on site and all people on site understand that they should not give any information to media or any external persons, apart from relevant enforcement agencies (Police, Health & Safety Executive or Fire and Rescue). Any media questions should be referred to the Communications Team.		<input type="checkbox"/>
If no other agency has taken primacy for the incident, begin formal investigation of the incident.		<input type="checkbox"/>
Take details of injured persons, witnesses and persons on site who may need to give statements.		<input type="checkbox"/>
Consider recommending establishment of an Incident Management Team to co-ordinate the investigation of the incident if there are wider implications across the organisation or is a major incident.		<input type="checkbox"/>

### Major Incidents

Issue	Detail/Action/Advice Given	Completed
Establish if the incident falls into the category of a Major Incident and, if so, have relevant officers been informed and Major Incident and Business Continuity Plans been invoked as necessary.		<input type="checkbox"/>
Contact the Duty Civil Contingencies Officer if not already done at local level: On-Call Number: 07729 922577		<input type="checkbox"/>
If the incident is serious enough to be classed as a serious or major incident; the Chief Executive, Assistant Chief Executive and HSW Portfolio Holder should be contacted immediately, as well as the Communications Team. See email template below.		<input type="checkbox"/>
<p><b>Naming Convention for Emails &amp; Documents</b></p> <ul style="list-style-type: none"> <li>▪ <b>Emails</b> – Ref No / Subject / From / To / Date (yyyymmdd)</li> <li>▪ <b>Documents</b> – Ref No / Subject / Version &amp; Date / Date received (yyyymmdd)</li> </ul>		

**Notification Email****Addressed to (as required)**

- Chief Executive
- HSW Accountable Executive Director
- Councillor – Portfolio Holder for Health, Safety and Wellbeing
- Relevant Directors
- Relevant Assistant Directors
- Communications Team

Good {Select Morning/Afternoon} {Insert Name}

This is to inform you that there was a serious incident at {insert Team/School & location} on {Insert date/time}. {insert name and job title} is the manager with responsibility for the location and will be the identified responsible person for contact regarding the incident.

{Insert brief details of the incident and outcome – including known details of injured person/s and their status, and incident management reference number if known}.

{Insert any known causes, immediate actions taken and/or request for support/resources}

The incident {Select was/will be} reported under RIDDOR to the HSE as a {Insert category}.

Sometimes, the HSE investigate certain types of incidents that meet identified criteria such as targeted injuries or incident type. Therefore, I will be carrying out an internal investigation into the incident, in line with our incident management health and safety performance standard (HSPS 10).

{Insert recommendation for informing other officers, portfolio holder and Press Office – or inform of those already informed}

I will keep you informed of progress and any further developments.

Best wishes

## H&S DOCUMENT CHANGE/ UPDATE REQUEST FORM

Please use this form ([click here](#) to download a Word version) to request a change, update or revision to any current H&S document, and to report any broken links in H&S documents or on H&S Staffroom pages. Alternatively, an update request can be submitted via the [Assure Go+ Portal Update Request form](#)

<b>Document that request applies to:</b>			
<b>Name of requester:</b>			
<b>Date of request:</b>			
<b>Reason for request</b> (e.g. update, omission, error, new legislation, etc.):			
<b>Urgency of request:</b>	<input type="checkbox"/> Not Urgent	<input type="checkbox"/> At next review	<input type="checkbox"/> Urgent (will trigger review)
<b>Details of request:</b>			
<b>Paragraph/ section of document to be updated:</b>			
<b>Supporting documentation</b> (reference or attach):			
<b>Broken link</b> (give full address of the link)			

Submit completed form to: [healthandsafety@plymouth.gov.uk](mailto:healthandsafety@plymouth.gov.uk)

<b>Request to be Actioned? (Y/ N)</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Request Actioned by (Name):</b>		
<b>Date of action:</b>		