Lone working policy

December 2024

| Heading | Content |
| --- | --- |
| Authorship: | Corporate Affairs Manager |
| Committee approved: | Health and Safety Group |
| Approved date: | December 2024 |
| Integrated impact assessment: | November 2024 |
| Target audience: | ICB and its committees and sub-committees, ICB staff, agency and temporary staff, and third parties under contract |
| Policy number: | ICB75 |
| Version number: | 1 |

The online version is the only version that is maintained. Any printed copies should therefore be viewed as ‘uncontrolled’ and as such may not necessarily contain the latest updates and amendments.

Amendments

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

| Version number | Issued by | Nature of amendment | Approving body | Approval date | Date published |
| --- | --- | --- | --- | --- | --- |
| 1.0 | Executive Director of Corporate Affairs | New policy | Health and Safety Group / Executive Director of Corporate Affairs | December 2024 | December 2024 |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

Contents

[Summary 5](#_Toc184724345)

[1. Introduction 6](#_Toc184724346)

[2. Purpose 6](#_Toc184724347)

[3. Definition / explanation of terms 7](#_Toc184724348)

[4. Scope of the policy 8](#_Toc184724349)

[5. Duties, accountabilities, and responsibilities 8](#_Toc184724350)

[5.1. Chief Executive 8](#_Toc184724351)

[5.2. Executive Director of Corporate Affairs and ICB Health and Safety Group 8](#_Toc184724352)

[5.3. ICB Health and Safety Lead 9](#_Toc184724353)

[5.4. Local Security Management Specialist 10](#_Toc184724354)

[5.5. Line managers 10](#_Toc184724355)

[5.6. All staff 11](#_Toc184724356)

[5.7. Responsibilities for approval 12](#_Toc184724357)

[6. Policy details 12](#_Toc184724358)

[6.1. Initial risk assessment 12](#_Toc184724359)

[6.2. Control measures 13](#_Toc184724360)

[6.3. Dynamic risk assessment 14](#_Toc184724361)

[6.4. Reviewing and updating risk assessments 14](#_Toc184724362)

[6.5. Agile working personal plans 14](#_Toc184724363)

[7. Consultation 14](#_Toc184724364)

[8. Training 15](#_Toc184724365)

[9. Monitoring compliance 15](#_Toc184724366)

[10. Arrangements for review 16](#_Toc184724367)

[11. Dissemination 16](#_Toc184724368)

[12. Associated documentation 16](#_Toc184724369)

[13. References 17](#_Toc184724370)

[14. Appendices 17](#_Toc184724371)

[15. Impact assessments 17](#_Toc184724372)

[15.1. Equality 17](#_Toc184724373)

[15.2. Bribery Act 2010 18](#_Toc184724374)

[15.3. General Data Protection Regulations (GDPR) 18](#_Toc184724375)

[Appendix 1 – Risk management guidance 19](#_Toc184724376)

[Appendix 2 – Guidance for lone working in the community, including travelling alone 21](#_Toc184724377)

[Appendix 3 – Guidance for lone working within an ICB office environment 25](#_Toc184724378)

[Appendix 4 - Guidance for lone working from home or other agile location 27](#_Toc184724379)

[Appendix 5 – Incident reporting, including failure to report in process 29](#_Toc184724380)

[Appendix 6 – Anti-fraud, bribery and corruption 32](#_Toc184724381)

# Summary

This policy sets out principles and processes for colleagues undertaking lone working for NHS Humber and North Yorkshire Integrated Care Board. It includes risk assessment processes and guidance for lone workers in the community, in an ICB office environment, and at home or in another agile location.

**Key points**

* Where possible, the ICB will minimise the need for colleagues to work alone
* Under no circumstances must an employee put themselves at unnecessary risk
* If a situation arises that they are unfamiliar with or in which they feel unsafe, they should withdraw and seek further advice and assistance, contacting the emergency services if appropriate
* In the event that a lone worker fails to report in and does not respond to attempts to contact them, this should be escalated to the relevant director and the emergency services contacted
* Written risk assessments must be in place for all lone workers
* A template lone working risk assessment is available on the ICB website
* Lone working risk assessments should be updated regularly and at least once a year or following an incident
* Lone workers should conduct dynamic risk assessments to take account of changing circumstances while working alone
* Incidents which occur as a result of lone working should be reported via the [incident reporting tool](https://incidents.app.humberandnorthyorkshire.org.uk/)

# Introduction

It is the policy of the Humber and North Yorkshire Integrated Care Board (the ICB) that the health, safety, security and welfare of anyone affected by its work activities are safeguarded. It is acknowledged that many of the ICB’s employees work alone either regularly or occasionally and that their health, safety, security and welfare should be protected, whether they work alone in the community, on ICB premises, at home or elsewhere.

The ICB acknowledges its duty to make adequate provisions for the health and safety of lone workers. It is the policy of the ICB to fully implement the general requirements of the Health and Safety at Work etc. Act 1974 and the Management of Health and Safety at Work Regulations 1999. In addition, all employees have a personal duty to take reasonable care for their own health and safety and that of anyone else who may be affected by their work activity. Lone working is acknowledged as a significant risk and all foreseeable risks associated with lone working should be identified, assessed, and controlled as appropriate.

# Purpose

The purpose of this policy is to reduce and prevent risks involved to members of staff undertaking lone working as part of their daily work routine for the ICB.

The policy details actions that will be taken by the ICB to identify, manage and reduce the risks to members of staff involved in lone working. The ICB recognises the importance of the following in the lone working process:

* Good systematic risk assessment processes
* Clear and robust management procedures that put into place measures to address identified and potential risk, and deal with incidents when they may occur
* Basic lone working requirements being determined by the ICB, with enhanced measures to be available as recommended via occupational health or Access to Work assessments
* Managers and staff accepting responsibility for, and supporting the need to operate systems, procedures provided for their protection.
* Managers and staff accepting responsibility for, and supporting the need to operate technology provided for their protection, as determined and maintained by the ICB Digital Team
* Sharing information from within and outside of the ICB on identified and potential risks
* The introduction and implementation of relevant and effective physical and technological systems and devices
* The provision of training, whether this is to help staff to prevent and manage violent situations, or to use procedures, systems or devices provided for their security and safety, to their best effect

# Definition / explanation of terms

**Agile working personal plan**

An agile working personal plan should be used as a framework to discuss, agree and record conversations between employees and line managers regarding agile working arrangements. Any expectation of lone working should be agreed and recorded within the agile working personal plan.

**Control measures**

Control measures are measures identified through the risk assessment process and implemented in order to reduce risks.

**Dynamic risk assessment**

A dynamic risk assessment is a continuous mental process whereby the environment and situation are checked and monitored to ensure that the initial risk assessment remains valid.

**Initial risk assessment**

The initial risk assessment is the formal written risk assessment which must be undertaken before any member of staff undertakes lone working. The template risk assessment available on the ICB website should be used for all initial risk assessments and once completed, these should be reviewed on a regular basis.

**Lone worker**

The term ‘lone worker’ is used to describe a wide variety of staff who work either regularly or occasionally on their own, and without access to immediate support from managers or other ICB colleagues. This could include one person working in a fixed establishment, workers in remote locations, mobile workers, those on domiciliary visits, staff alone with patients, those working at other employers’ premises or, in some circumstances, from home. Staff who work from home as part of their agile working plan will generally only be considered lone workers if they live alone and are unaccompanied in the property during the working day.

# Scope of the policy

The policy applies to NHS Humber and North Yorkshire and all its employees and must be followed by all those who work for the organisation, including the Integrated Care Board, Integrated Care Partnership, those on temporary or honorary contracts, secondments, pool staff, contractors and students.

# Duties, accountabilities, and responsibilities

## Chief Executive

The Chief Executive has overall responsibility to ensure that the ICB complies with all relevant health and safety legislation.

## Executive Director of Corporate Affairs and ICB Health and Safety Group

Day-to-day responsibility for health, safety and welfare is delegated by the Chief Executive to the Executive Director of Corporate Affairs, who will discharge their duties through the ICB health and safety group. They have responsibility for the administrative coordination of this policy.

The Executive Director of Corporate Affairs, through the ICB health and safety group must:

* Promote and support the aims and objectives of this policy and afford it equal importance with other ICB policies and management functions.
* Ensure that arrangements are in place to implement and disseminate this policy and ensure awareness of its existence across all staff groups.
* Ensure that line managers work with health and safety lead to ensure suitable arrangements for lone workers are in place.
* Ensure appropriate investigations take place in respect of incidents or allegations being raised by lone workers.
* Ensure arrangements which prioritise safety exist for the provision of safe systems, procedures, equipment and other resources to protect lone workers.
* Provide reports and / or feedback, where appropriate, to the Board on all matters relating to the safety and security of lone workers.
* Receive reports and / or investigations regarding incidents involving lone workers from the health and safety lead and ensure that, if appropriate, recommendations are acted upon and corrective actions are taken.

In addition, all Directors and Heads of Service must ensure that members of staff are aware of this policy and any relevant processes to be followed.

## ICB Health and Safety Lead

The ICB health and safety lead has delegated responsibility for advising on good practice and ensuring that procedures are developed locally, in conjunction with Local Security Management Specialist (LSMS).

The ICB health and safety lead must also:

* Ensure that the ICB has robust and up-to-date policies and procedures in place to ensure the safety of lone workers and, in liaison with other managers, ensure that these are disseminated to all staff.
* On the advice of LSMS, ensure that appropriate physical security and preventative measures are in place to improve the personal safety of lone workers.
* Play an active role in the risk assessment and management process where appropriate.
* Following any investigations, be involved in the post incident root cause analysis where appropriate to do so, working with managers to identify any shortcomings and learn from them, ensuring that appropriate measures are taken to negate or mitigate any future failings.

## Local Security Management Specialist

Local Security Management Specialist (LSMS) have a role in supporting safe lone working through the provision of advice and guidance to the ICB. LSMS services will be provided through contracts bought in by the ICB. LSMS will:

* Advise the ICB on physical security measures to improve the personal safety of lone workers.
* Advise on appropriate security provisions and technologies to protect lone workers.
* Assist the ICB in ensuring that technology which is used to protect lone workers is appropriate, proportionate and meets the needs of the organisation and lone working staff, including ensuring that any such technology meets the necessary legal requirements and prioritises safety.

## Line managers

Line managers have delegated responsibility for ensuring the health and safety of their staff and should:

* Promote and support the aims and objectives of this policy and afford it equal importance with other ICB policies and management functions.
* Ensure the policy is widely disseminated, implemented and monitored across all their staff groups.
* Seek to minimise risk by considering working practices that do not require staff to work alone.
* When an incident occurs involving a lone worker within their team, carry out a full investigation and, where necessary, liaise with the police to allow follow-up action to be taken.
* Ensure that all employees within their team receive appropriate information, instruction, training and supervision to enable them to carry out their work safely.
* Ensure that all employees within their team are issued with appropriate resources and are trained in respect of their usage.
* Ensure risk assessments for lone working are carried out and recorded for all relevant staff and kept under regular review.
* Ensure physical measures are put in place and appropriate technology is made available to ensure the safety of lone workers.
* Establish a system for monitoring relevant employees’ contact arrangements, particularly in out-of-hours situation and be familiar with the procedures for raising the alarm if a member of staff fails to report in.
* Ensure accompanied visits are arranged where appropriate.

## All staff

It is the responsibility of all employees to:

* Cooperate and support the ICB in their implementation of this and other related policies.
* Take reasonable care of the health and safety of themselves and others who may be affected by their acts or omissions.
* Ensure compliance with control systems introduced to monitor employees’ contact arrangements, including access for other staff to view diaries and provision of personal details, such as emergency contact details.
* Plan appropriately and undertake relevant risk assessments before lone working, and undertake a continuous dynamic risk assessment of the situation they find themselves in, being aware of any changing circumstances and taking necessary action to minimise the possibility of an incident occurring.
* Report any allegations or incidents that may occur as a result of lone working and support any subsequent investigation as appropriate.
* Ensure that relevant information, training, instruction, and supervision has been accessed.
* Request accompanied visits where this is felt appropriate.

Under no circumstances must an employee put themselves at unnecessary risk. If a situation arises that they are unfamiliar with or in which they feel unsafe, they should withdraw and seek further advice and assistance.

## Responsibilities for approval

The Executive Director of Corporate Affairs under the advisement of ICB health and safety group is responsible for approval of this policy.

# Policy details

## Initial risk assessment

The ICB recognises that lone workers may be more vulnerable than other members of staff, in certain situations.

It is the responsibility of each line manager within the ICB to identify which members of their team are classed as lone workers and that risk assessments are carried out to determine the measures needed to improve their safety. Risk management guidance is available at appendix 1 and a template lone working risk assessment can be found on the [ICB website](https://humberandnorthyorkshire.icb.nhs.uk/documents-and-publications/).

The principle adopted by the ICB is that risks associated with lone working shall be avoided so far as is reasonably practicable. Where it is unavoidable, risk shall be minimised through the completion of a risk assessment and the implementation of any further controls required. The findings of the risk assessment will be recorded and will include, as a minimum, identification of the potential for six main hazards:

* Physical or verbal violence or aggression (including sexual violence or aggression)
* Theft or robbery
* Road traffic accidents, breakdowns or punctures
* Slips, trips or falls
* Illness or incapacity
* Technology failure or loss

In addition, risk assessments may include specific issues such as:

* Area, location or neighbourhood or building.
* Third parties, including their known manner, style or previous experience.
* Weather conditions.
* Time of the day or night.

Other details which may be recorded during the completion of a risk assessment include:

* Other significant hazards within the workplace or area to be visited, for example the presence of known hazardous materials.
* Risks to lone workers with characteristics which may make them more vulnerable, such as pregnant colleagues or colleagues with existing medical conditions.
* Means of communication between lone workers and their line manager and / or others.

For some lone workers additional risk assessments may need to be undertaken, for example a maternity risk assessment for expectant / new mothers. This policy should therefore be read in conjunction with the health and safety policy, fire safety policy and the maternity, maternity support (paternity), adoption and parental leave policy.

## Control measures

Following the initial risk assessment, control measures should be put in place to avoid or reduce the identified risks, where possible. Control measures may include provision of additional training or supervision, provision of personal alarms, or conducting visits with others. Managers should take steps to check that identified control measures are applied and periodically review their initial risk assessment to ensure it remains suitable and sufficient.

Where a risk assessment determines that it is not possible for the work to be carried out safely by a lone worker, arrangements for providing help or back-up should be put in place. Lone workers should not be at more risk than other employees and therefore it is anticipated that more risk control measures will be in place for lone workers than other colleagues. Control measures should take account of anticipated circumstances and foreseeable emergencies such as fire, equipment failure, extreme weather, illness and accidents.

## Dynamic risk assessment

While the initial risk assessment will enable identification of known hazards and required actions, the ICB recognises that risks may change as situations evolve and therefore risk assessment must be an ongoing process.

Dynamic risk assessments should be conducted by lone working staff to take into consideration the circumstances which they find themselves in while working alone. It should consider any unpredictable or unforeseen risks which present themselves, or changes to previously identified risks.

Lone workers should continually review the situations they find themselves in and take necessary action to minimise the possibility of an incident occurring, including removing themselves from situations where necessary.

Under no circumstances must an employee put themselves at unnecessary risk. If a situation arises that they are unfamiliar with or in which they feel unsafe, they should withdraw and seek further advice and assistance.

## Reviewing and updating risk assessments

Risk assessments should be reviewed and updated at least annually but may be reviewed sooner or more frequently where appropriate, for example where a new hazard has been identified or the likelihood of a risk has increased.

## Agile working personal plans

In addition to lone working risk assessments, all agile workers must have an agile working personal plan in place. A template agile working personal plan and further guidance on agile working can be found within the [agile working policy](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fhumberandnorthyorkshire.icb.nhs.uk%2Fwp-content%2Fuploads%2F2023%2F10%2FICB-Agile-Working-Policy.docx&wdOrigin=BROWSELINK).

# Consultation

In developing this policy, consultation has taken place with the following interested parties:

* ICB health and safety lead
* Quality directorate
* People directorate
* Staff wellbeing and engagement group
* ICB inclusion network
* Social partnership forum policy sub-group
* Social partnership forum
* Executive lead
* Health and safety group

Engagement and feedback received during the consultation process was generally positive and updates to enhance the policy were made in response.

# Training

All staff will be made aware of the lone worker risks identified in association with their duties and will also be made aware of risk assessments and the control measures that are in place to control identified risks. Staff will also be provided with all necessary information, instruction, training, and supervision to enable them to recognise hazards and appreciate the risks involved with working alone.

As a minimum, all staff must complete the mandatory ESR health and safety and conflict resolution e-learning modules. Colleagues may also wish to consider completing the handling difficult situations training module, which is available on ESR, based on their individual needs.

Training required to address any additional training needs, for example those identified through personal development plans, should be requested in line with the provisions of the learning and development policy.

# Monitoring compliance

Compliance with, and effectiveness of, this policy will be monitored by the ICB health and safety group which will review the standard risk assessment and submit reports to the audit committee as appropriate.

Line managers have a duty to ensure that personal risk assessments are carried out in compliance with this policy and that appropriate methods of communication and monitoring procedures are agreed with staff and recorded. Line managers should also conduct active monitoring, continuously ensuring that systems and procedures are working without waiting for an incident to occur, and reactive monitoring, responding to all reported incidents in line with the arrangements of this policy to support identification of any possible learning.

Through the incident reporting and investigation process, any newly identified risks associated with lone working will be reported to the ICB health and safety group to ensure appropriate risk mitigations are developed and implemented.

# Arrangements for review

This policy will be reviewed not less than every four years. Earlier review may be required in response to exceptional circumstances, organisational change, or relevant changes in legislation / guidance, as instructed by the senior manager responsible for this policy.

# Dissemination

This policy will be disseminated to all staff through the internal communications methods and will be made available on the ICB website.

# Associated documentation

This policy should be read in conjunction with the following ICB documents:

* Acceptable behaviour policy, including the violence and aggression charter
* Agile working policy
* Code of conduct and behaviours policy
* Control of substances hazardous to health policy
* Dignity and respect at work policy
* Display screen equipment policy
* Driving for work policy
* Fire safety policy
* First aid at work policy
* Freedom to speak up policy
* Health and safety policy
* Manual handling policy
* Maternity, maternity support (paternity), adoption and parental leave policy
* Risk management framework
* Risk management policy
* Serious incident and incident policy
* Staff experiencing domestic abuse policy

# References

* [Health and Safety Executive – Lone working guidance for employers](https://www.hse.gov.uk/lone-working/index.htm)
* [Health and Safety at Work etc. Act 1974](https://www.legislation.gov.uk/ukpga/1974/37/contents)
* [Management of Health and Safety at Work Regulations 1999](https://www.legislation.gov.uk/uksi/1999/3242/contents)
* [NHS Employers – Improving the personal safety of lone workers](https://www.nhsemployers.org/publications/improving-personal-safety-lone-workers)
* [The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013](https://www.legislation.gov.uk/uksi/2013/1471/contents)
* [Suzy Lamplugh Trust](https://www.suzylamplugh.org/)

# Appendices

Appendix 1 – Risk management guidance

Appendix 2 – Guidance for lone working in the community, including travelling alone

Appendix 3 - Guidance for lone working within an ICB office environment

Appendix 4 – Guidance for lone workers working from home or other agile location

Appendix 5 – Incident reporting, including failure to report in process

Appendix 6 - Anti-fraud, bribery and corruption

# Impact assessments

## Equality

As a result of performing the analysis, the policy, project or function does not appear to have any adverse effects on people who share protected characteristics, however additional measures, such as pregnancy risk assessments or personal emergency evacuation plans may be required for colleagues with characteristics which make them more vulnerable. No further actions are recommended at this stage.

## Bribery Act 2010

Due consideration has been given to the Bribery Act 2010 in the development (or review, as appropriate) of this policy document, further details can be found in appendix 7.

## General Data Protection Regulations (GDPR)

The ICB is committed to ensuring that all personal information is managed in accordance with current data protection legislation, professional codes of practice and records management and confidentiality guidance. More detailed information can be found in the data protection and confidentiality policy and related policies and procedures.

# Appendix 1 – Risk management guidance

The template lone working risk assessment available on the ICB website should be used by line managers to assess risks to all staff who undertake any form of lone working. The template forms the basis of the risk assessment but should be adjusted to take into account the specific circumstances of the individual.

The impact table below should be used to calculate risk scores.

| **Likelihood** | **Severity** | | | | |
| --- | --- | --- | --- | --- | --- |
| **Negligible** | **Minor** | **Moderate** | **Serious** | **Catastrophic** |
| **Rare** | 1 | 2 | 3 | 4 | 5 |
| **Unlikely** | 2 | 4 | 6 | 8 | 10 |
| **Possible** | 3 | 6 | 9 | 12 | 15 |
| **Likely** | 4 | 8 | 12 | 16 | 20 |
| **Almost certain** | 5 | 10 | 15 | 20 | 25 |

When completing the risk assessment, all relevant factors must be considered and recorded. Factors which may increase or reduce the likelihood or severity of the risk include:

* Area, location, neighbourhood or building,
* Third parties, including their known manner, style or previous experience,
* Weather conditions,
* Time of the day or night,
* Other significant hazards within the workplace or area to be visited, for example the presence of known hazardous materials,
* Risks to lone workers with characteristics which may make them more vulnerable, such as pregnant colleagues or colleagues with existing medical conditions.

Please note this list is not exhaustive.

Risk assessments should be kept under review and updated to include any new and changing information.

Appendix 2 – Guidance for lone working in the community, including travelling alone

This section is intended to provide guidance on best practice for lone workers and managers where lone working involves working in the community.

**General guidance**

* Ensure that an initial risk assessment has been completed
* Consider the time of day that you intend to undertake lone working
* Consider any specialist equipment you may need for lone working
* Ensure you are familiar with procedures should an incident occur
* Ensure that your line manager knows where you are travelling and your expected time of arrival and return
* Share your contact details, including emergency contact details, with your line manager and other colleagues as appropriate
* Share details of any relevant existing medical conditions which may affect your health during lone working with your line manager
* Keep your line manager informed of any changes to your plans or expected arrival / return time
* Ensure that your phone / other means or contact are fully charged and working properly
* Familiarise yourself with de-escalation techniques, e.g. through conflict management training
* Keep valuables hidden as much as possible
* Be aware of your nearest place of safety, e.g. police station, shop, petrol station etc.

**Visits to a patient address**

* Carry your ID badge with you at all times
* Consider any existing information or previous experience with those who will be present at the visit
* Consider whether any personal safety equipment should be used
* Ensure that any personal safety equipment is fully charged and working properly
* Stay alert when approaching the property
* After ringing or knocking, stand back and to the side of the door
* Ask for any pets to be secured where appropriate
* Note any entrance and exit routes
* Do not enter if anything gives you cause for concern regarding the person answering the door, the patient or the premises, e.g. anyone under the influence of alcohol or drugs, potentially violent or abusive persons, or dangerous animals
* Be aware of the movements and mood of those in the address and remove yourself should you feel unsafe at any time
* If it is not possible to remove yourself, attempt to raise the alarm through other means, such as sounding a personal alarm, contacting the emergency services or contacting your line manager / other colleague

**Travel**

* Ensure that your vehicle is maintained and has plenty of fuel for your journey
* Familiarise yourself with the journey ahead of time, including how long you expect the journey to take
* Consider parking arrangements for your arrival
* Have vehicle breakdown information to hand, if applicable
* Keep doors locked whilst in the car
* Keep windows and sunroofs closed whilst in stationary or slow-moving traffic
* Park as near to the premises as possible
* Park in a well-lit area, preferably facing the direction you will need to leave in
* Check the area before unlocking and opening car doors
* When leaving the premises, have your car keys ready in your hand
* Be wary of people trying to flag you down by pointing at your car indicating that something is wrong. If the car appears to be running well, acknowledge their gesture and drive immediately to the nearest populated area to check the car
* If you come across an accident, consider whether it would be better to give assistance or summon help from a position further away
* If using public transport, be aware of the movements and mood of those around you
* If travelling on foot, use populated routes and avoid underpasses, alleyways, etc.
* If your car breaks down:
  + Stop vehicle where it is safe to do so
  + Turn on your hazard warning lights
  + Always remember your own safety
  + Call for assistance
  + Keep your doors locked and the windows open no more than one-and-a half inches
  + If it is necessary to leave the car, for example if you have broken down on a busy road, lock it and note its location. If you have a personal alarm, take it and keep it in your hand. If it is dark, or will be soon, take a torch
  + Contact your line manager to inform them of the situation
  + Contact clients to inform them of the delay / cancellation
  + Keep your line manager informed of the situation and confirm when you are safely back at base or home
* If you are involved in an accident, try to obtain witness contact details. You are legally obliged to stop if you collide with another person, car, property or livestock. In addition:
  + Check if anybody is injured
  + If medical attention is required, summon help immediately by calling 999. Provide information such as:
    - The exact location of the accident to pinpoint scene road junctions, road names and any obstructions which may have caused the accident
    - The type and seriousness of the accident
    - Details of casualties involved, i.e. number, sex, age, condition
    - Details of any hazards such as fog, gas, chemicals, spilt fuel, power line damage, fire, danger of explosion
    - Emergency vehicles present and / or required
  + Do not hang up before the operator does

In the event of specific concerns regarding the health and safety of a lone worker, please contact [hnyicb.healthandsafety@nhs.net](mailto:hnyicb.healthandsafety@nhs.net).

# Appendix 3 – Guidance for lone working within an ICB office environment

This section is intended to provide guidance on best practice for lone workers and managers where lone working involves working within an ICB office environment.

* Ensure that an initial risk assessment has been completed
* Consider whether lone working within the office is necessary
* Consider the time of day that you intend to undertake lone working
* Consider any specialist equipment you may need for lone working
* Ensure you are familiar with procedures should an incident occur
* Ensure that your line manager knows where you are and the times you expect to be there
* Share your contact details, including emergency contact details, with your line manager and other colleagues as appropriate
* Share details of any relevant existing medical conditions which may affect your health during lone working with your line manager
* Keep your line manager informed of any changes to your plans or expected arrival / return time
* Ensure that your phone / other means of contact are fully charged and working properly
* Familiarise yourself with entrances and exits, including fire escapes
* Secure valuables and keys in an appropriate place
* Ensure windows and doors are secured to prevent unauthorised access
* Familiarise yourself with de-escalation techniques, e.g. through conflict management training
* Never give security codes or keys to strangers
* Do not use lifts, as you may become trapped inside and unable to call for assistance
* If you discover a fault with equipment, do not attempt to fix it or tamper with the controls
* If the fire alarm sounds, leave the building immediately and go directly to the designated muster point to await the arrival of the emergency services
* Park as close to the building as possible and in a well-lit area
* If you arrive at the office and notice any damage or signs of break in, contact the police immediately and do not enter
* Take care when entering the building to ensure that no one is ‘tailgating’ (accessing the building without presenting the requisite identification)
* If interviewing members of the public in the office:
  + Never conduct an interview with a member of the public in the office if you are alone in the building
  + Use interview rooms with panic buttons where possible
  + Sit nearest the exit
  + Familiarise yourself with any locking mechanisms on exit doors
  + Ensure that colleagues are aware that an interview is taking place and the approximate time you expect the interview to finish
  + If there is ever a need to take a client / visitor through a coded security door, ensure that they cannot see the code or knock on the door and be let through to maintain security

In the event of specific concerns regarding the health and safety of a lone worker, please contact [hnyicb.healthandsafety@nhs.net](mailto:hnyicb.healthandsafety@nhs.net).

# Appendix 4 - Guidance for lone working from home or other agile location

This section is intended to provide guidance on best practice for lone workers and managers where lone working involves working from home or another agile location.

* Ensure that an initial risk assessment has been completed
* Ensure that an agile working personal plan has been completed
* Consider any specialist equipment you may need for lone working
* Ensure you are familiar with procedures should an incident occur
* Ensure that your line manager knows when you have logged on and when you are logging off
* Share your contact details, including emergency contact details, with your line manager and other colleagues as appropriate
* Share details of any relevant existing medical conditions which may affect your health during lone working with your line manager
* Keep your line manager informed of any changes to your plans or expected working times
* Ensure that your phone / other means or contact are fully charged and working properly
* Be aware of your nearest place of safety, e.g. police station, shop, petrol station etc.
* Ensure you have completed a DSE assessment to reduce the risk of injury
* Familiarise yourself with entrances and exits at your agile working location
* Familiarise yourself with de-escalation techniques, e.g. through managing conflict training
* Ensure your agile working equipment is maintained and any faults reported as appropriate
* Check for and take appropriate action in relation to any hazards which may result in a slip, trip, fall or other accident
* Where appropriate, check smoke detectors regularly
* Report any health and safety incidents, including those which take place within your home while you are working
* Ensure electrical equipment within your home is well maintained and any faulty equipment is not used

In the event of specific concerns regarding the health and safety of a lone worker, please contact [hnyicb.healthandsafety@nhs.net](mailto:hnyicb.healthandsafety@nhs.net).

# Appendix 5 – Incident reporting, including failure to report in process

**Immediate danger and emergencies**

Any lone worker who feels they are in immediate danger or finds themselves in an emergency and requiring urgent assistance, should contact the emergency services in the first instance. In such circumstances, the staff member’s priority should always be to get themselves to safety if possible and await the arrival of the emergency services. If it is not possible to contact the emergency services themselves, they should use any personal safety equipment in their possession to raise the alarm or try to get the attention of members of the public.

As soon as practicable, and only if it is safe to do so, the lone worker should contact their line manger to inform them of the situation. Once the lone worker’s safety has been secured, the usual incident reporting procedures should be followed.

**Incident reporting**

All staff are encouraged to report all incidents of physical and non-physical assault or injury, using the [online portal](https://incidents.app.humberandnorthyorkshire.org.uk/). Managers are responsible for conducting a thorough investigation of all incidents, in liaison with the ICB health and safety lead and / or LSMS as appropriate and ensuring that all appropriate cases are reported to the police as soon as possible for appropriate action to be taken.

Full and accurate incident reporting will support the ICB in understanding the nature, scale and extent of issues affecting lone workers and facilitate improvements to local policies and procedures. Staff should be supported and encouraged to report incidents in the knowledge that they will be investigated, and appropriate action taken. Staff should also report near-misses which could have resulted in a serious incident.

If an incident causes more than seven consecutive days absence from work, there is also a legal requirement to report this to the Health and Safety Executive under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations. The ICB health and safety lead will provide advice and support with this process.

**Post-incident review**

Where appropriate, the ICB health and safety lead and/ or the LSMS, in conjunction with the individual concerned and their line manager, will undertake a post-incident review, to ensure that lessons can be learned and the risk of further incidents is minimised. The following factors should be considered as part of the post-incident review:

* Type of incident
* Severity of incident
* Likelihood of reoccurrence
* Cost to the organisation (human and financial)
* Individuals and staff groups affected
* Weaknesses or failures which have contributed to the incident (for example, procedural, systemic or technological)
* Identified training needs
* Risk management processes
* Control measures used and others which may be available

The ICB health and safety lead will be responsible for reporting the outcomes of post-incident reviews to the ICB health and safety group and working with relevant managers / teams to implement any identified learning.

**Failure to report in**

In the event that a lone worker does not return to the office or confirm their safe arrival at their intended destination, the following escalation process should be followed:

* Check with other colleagues whether they have heard from the lone worker or are aware of any changes to their plans
* Make other available checks, such as contacting others who were at the place they were last known to be; this may be a patient if they were attending a house visit, or a colleague if they were at an office location
* Attempt to contact the lone worker through all available means, e.g. phone call, text message, email
* If you receive no answer, their line manager should be notified immediately, if not already aware of the situation; if their line manager is not available, the next more senior manager should be informed
* If you receive an answer and the individual sounds distressed, obtain as much detail as possible and contact the emergency services as a matter of urgency
* If no response is received, the line manager or other senior manager should attempt to contact the individual at home or through their emergency contacts, before contacting the police
* In any instance in which the police are contacted, this must be escalated to the relevant director as soon as possible
* When contacting the police, ensure that they are provided with as much up to date information as possible, including contact details, car registration details and last known movements

In order to minimise the possibility of false alarms, all staff should:

* Ensure their calendars are up to date and accessible in line with the ICB’s open calendar policy, unless agreed otherwise with senior management
* Ensure that their emergency contact details are up to date on ESR and that their line manager has access to this
* Provide details of their travel plans and vehicle information to their line manager
* Maintain contact with line managers when lone working and respond promptly to any welfare checks made by their line manager or other colleagues

# Appendix 6 – Anti-fraud, bribery and corruption

The ICB follows good NHS business practice as outlined in the business conduct policy and the conflicts of interest policy and has robust controls in place to prevent fraud, bribery and corruption. Under the Bribery Act 2010 there are four criminal offences:

* Bribing or offering to bribe another person (Section 1)
* Requesting, agreeing to receive or accepting a bribe (Section 2)
* Bribing, or offering to bribe, a foreign public official (Section 6)
* Failing to prevent bribery (Section 7)