



**Policy name:** HMPPS Health and Safety Arrangements for the Management of Workplace Transport Policy Framework

**Re-Issue Date:** 11 January 2023    **Implementation Date:** 12 March 2020

**Replaces the following documents (e.g. PSIs, PSOs, Custodial Service Specs) which are hereby cancelled:**

- Health and Safety Guidance note 04/2008 risk assessment, training and Safe Systems of work for Vehicle escorts.
- 05/2008 & 01/2011 Lift truck Driver Health Assessment.
- 04/2010 Health & Safety workplace transport guidance note.

**Introduces amendments to the following documents:** None

**Action required by:**

<input checked="" type="checkbox"/>	HMPPS HQ	<input checked="" type="checkbox"/>	Governors
<input checked="" type="checkbox"/>	Public Sector Prisons	<input checked="" type="checkbox"/>	Heads of Group
<input type="checkbox"/>	Contracted Prisons	<input type="checkbox"/>	Community Rehabilitation Companies (CRCs)
<input type="checkbox"/>	National Probation Service	<input type="checkbox"/>	HMPPS-run Immigration Removal Centres (IRCs)
<input type="checkbox"/>	HMPPS Rehabilitation Contract Services Team	<input type="checkbox"/>	Youth Custody Estate
<input type="checkbox"/>	Other providers of Probation and Community Services	<input type="checkbox"/>	Women's Estate

**Mandatory Actions:** All groups referenced above must adhere to the Requirements section of this Policy Framework, which contains all mandatory actions.

**Audit/monitoring:** Compliance with this instruction will be monitored as follows:

- Via ongoing line management supervision and oversight.
- Prison Health and Safety Evaluation (PHASE) checklists within Sphera.
- Locally; Via quarterly establishment Occupational Health and Safety Committees and SMTs/SLTs provided by Senior HSF Advisors using data returns from (PHASE) checklists within Sphera.
- Regionally, via establishment assurance visits from Regional OHSF teams and PHASE monitoring through Sphera.
- Nationally, via aggregated PHASE monitoring reports and Government Internal Audit Agency (GIAA) to OHSF Sub-Committee with summaries to Prisons Operational Management Committee (POMC) and MoJ Assurance.

**For Information:** Governors must ensure that any new local policies that they develop because of this Policy Framework are compliant with relevant legislation, including the Public-Sector Equality Duty (Equality Act, 2010).

**Resource impact:** These arrangements integrate and update previously issued guidance and policy. There is unlikely to be any strategic resource impact though local reviews against the standards may result in the need to resource local additional control measures.

**Contact:** [Health-Safety.national@justice.gov.uk](mailto:Health-Safety.national@justice.gov.uk)

**Deputy/Group Director sign-off:** Yaser El-Borgi, Head of Central Operational Services HMPPS.

**Approved by OPS for publication:** February 2020: Michelle Jarman-Howe, Joint Chair, Operational Policy Sub-board.

## **Revisions**

<b>Date</b>	<b>Changes</b>
11/01/2023	Changes have been made to: <ul style="list-style-type: none"><li>• Vehicle escort SSOW;</li><li>• Reinforce the need for long sleeve Hi Vis when escorting and importance of pegging back gates and ensuring these are well maintained; and</li><li>• The need for caution in high winds and consideration for two vehicle escorts to operate the manual gates in such conditions.</li></ul>

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## **1. Purpose**

- 1.1 Health and Safety Arrangements aim to provide Governors and Heads of Group with an overarching framework that sets the health and safety standards we expect prisons to achieve, the requirements for critical roles and with guidance that supports and empowers them to make decisions on how they maintain the safety of their prisons.
- 1.2 This particular set of arrangements bring together and update a range of national guidance on the management of the risk of workplace transport in public sector prisons and establish the standards and good practice elements to be achieved at local level in managing this significant risk.
- 1.3 They do not extend to the management of driver and vehicle safety where driving is being undertaken on public roads by HMPPS employees for work purposes (known as Occupational Road Risk). They do not extend to unpowered vehicles.
- 1.4 It is important to realise that the movement of vehicles in any workplace presents significant risks to pedestrians and other vehicle users and requires systematic management control. HMPPS has not been immune to this risk and very serious injuries have been incurred by both staff and 3<sup>rd</sup> parties associated with crushing and impact injuries.
- 1.5 There are also risks associated with loading and unloading of vehicles and HMPPS employees have been seriously injured in assisting drivers to offload plant and equipment.

## **2. Outcomes**

- 2.1 A suitable and sufficient assessment of workplace transport risk to be in place in all prison establishments.
- 2.2 The controls identified by that assessment to be implemented, maintained and monitored and achieving the legal requirements below.
- 2.3 Written instructions and training to be provided for the operation of vehicle gates and commercial vehicle manoeuvring and loading areas.
- 2.4 Specific attention and controls given to areas of substantial joint pedestrian and vehicle activity.
- 2.5 Information, Instruction and or training for all drivers and or vehicle operations supervisors.
- 2.6 Information to be provided to all persons potentially at risk about the risk and their responsibilities.
- 2.7 Specific arrangements to be in place for access by emergency service vehicles.

## **3. Requirements**

### Legal Requirements

- 3.1 The Health and Safety at Work etc. Act 1974 requires employers to ensure, as far as is reasonably practicable, the health, safety and welfare at work of all employees. This includes

the provision of such information, instruction, training and supervision as is necessary to ensure, so far as is reasonably practicable, the health and safety of employees. The following regulations under the Act, and their supporting approved codes of practice (ACOP) and guidance have specific relevance to workplace transport activities.

- 3.2 The Management of Health and Safety at Work Regulations 1999 require employers to make a risk assessment of the risks to the health and safety of employees to which they are exposed whilst at work and affected third parties. Employers must give effect to arrangements for the effective planning, organisation, control, monitoring and review of the preventive and protective measures identified in the risk assessment.
- 3.3 The Workplace (Health, Safety and Welfare) Regulations 1992 require employers to ensure that floors and traffic routes, which includes routes for pedestrians, vehicles or both:
- Are of a construction that is fit for purpose are maintained and in good condition, well drained with no holes or slopes, or be uneven or slippery so as to expose a person to risk
  - So far as is reasonably practicable, be kept free from obstruction and from any article or substance which may cause a person to slip, trip or fall and that:
  - Workplaces are arranged so that pedestrians and vehicles can circulate in a safe manner.
  - That traffic routes are suitable for the persons or vehicles using them, sufficient in number, in suitable positions and of sufficient size.
  - That pedestrians or vehicles can use a traffic route without causing danger to others at work near it.
  - That there is sufficient separation of vehicle traffic routes from doors or gates or from traffic routes for pedestrians which lead onto it.
  - That there is sufficient separation where vehicles and pedestrians use the same traffic route.
  - That all traffic routes are suitably signed and marked
- 3.4 The Provision and Use of Work Equipment Regulations 1998 provides for employers to ensure that work equipment is constructed or adapted as to be suitable for purpose. The Road Vehicle (Construction and Use) Regulations 1986 set requirements for the general standard of vehicles particularly used on public roads.
- 3.5 The Lifting Operations and Lifting Equipment Regulations 1998 place specific requirements around the operation, maintenance and testing of lifting equipment. In a number of cases such equipment may well be vehicular, for example fork lift trucks or telescopic handlers
- 3.6 The Personal Protective Equipment at Work Regulations 1992 provides that every employer must ensure that personal protective equipment is provided for employees who may be exposed to a health and safety risk while at work, and that the use of personal protective equipment is suitable for the risk, except where the risk has been adequately controlled by other means which are equally or more effective.
- 3.7 The Health and Safety (Safety Signs and Signals) Regulations 1996 mandates the safety signage required for use within workplaces where the relevant risk assessment indicates that all other measures and methods are not sufficient to adequately reduce risks to employees and appropriate safety signs are required.

## Governors and Heads of Group

- 3.8 Governors and Heads of Group who have responsibility for sites where vehicle and pedestrian traffic risk are significant must:
- Ensure that a current, suitable and sufficient risk assessment of workplace vehicle operations and pedestrian movement is in place. [Annex A](#) provides specific guidance on the development of the Transport Management Plan (TMP).
  - Identify a specific member of the SMT to co-ordinate the provision of the WPT risk assessment and to implement and monitor the controls it identifies
- 3.9 Ensure the Workplace transport risk assessments is reviewed at least annually and in addition:
- Following a relevant accident or near miss
  - When any changes are made to vehicle routes or vehicles and other operations which impinge on them (e.g. prisoner movement, major contract works on site etc.)
- 3.10 Must ensure that all persons including contractors and third parties are provided with sufficient information:
- About the workplace
  - About the routes to be taken
  - The vehicles and equipment on site
  - The risks from activities on site and the controls in place from other people on site and other contractors and visiting drivers

## Heads of Function, Industries, Catering Managers and Managers Supervising Vehicle Operations

- 3.11 Where these managers are responsible for activities involving vehicle use, they must:
- Ensure that their staff or other operatives are suitably trained or informed and provided with suitable equipment, including personal protective equipment (PPE)
  - Ensure that staff with specific responsibilities relating to tasks such as the operation of powered gates and roller shutters are familiar with both normal and emergency operating procedures.
  - Monitor at suitable intervals the implementation and practice of the relevant controls
- 3.12 Where these managers are responsible for the control and operation of fork lift trucks (FLT) they must ensure that:
- Drivers are trained and licenced (where a licence is appropriate) and that training is kept up to date.
  - Refresher training should be considered for all operatives who have not undertaken such activities regularly
  - All drivers including prisoners have annual health assessments
  - The FLT and other mechanical powered lift vehicles are subject to a written scheme of examination by a competent engineer and all faults are rectified prior to the vehicle being put to use.
  - All vehicles are subject to regular maintenance to ensure that they are safe for the intended use at all times.
  - Pre-use checks are undertaken before use by the operator and records held.

### Regional Estates Managers and Service Delivery Managers

- 3.13 REMs and SDMs must consider the extent to which condition surveys, inspections and checks undertaken by the TFM contractors are adequate against the risk associated with a particular traffic surface or route and identify if additional checking is required.
- 3.14 REMS and SDMs must ensure that inspection and test programs operated by contractors are undertaken and that the fault identification and repair response by the contractor are adequate and appropriate.
- 3.15 SDMs must ensure that information on inspection, condition, replacement and repair programs is discussed in relevant forums such as the Health and Safety Committees and with OHSF Cluster Leads and OHSF Specialists.

### Senior HSF Advisors and onsite HSF Advisors

- 3.16 Must contribute actively to the management of workplace transport risk by:
- Designing relevant programs of workplace inspection and audit
  - Supporting managers in the production of a suitable and sufficient risk assessment
  - Providing investigation and analysis of relevant incident(s) patterns and trends to assist in performance monitoring and resource planning
  - Support the Litigation Function in handling related litigation claims
  - Support Governors and line managers in the event of investigation or enforcement by the HSE
  - Provide input to new build or refurbishment design planning processes
  - Provide assurance reports incorporating transport risk
  - Provide relevant induction and OHSF-related training

### All Staff including 3<sup>rd</sup> party employees, contractors & Prisoners

- 3.17 Must ensure that they are familiar with relevant procedures identified by the risk assessment and the relevant controls, particularly when those controls are connected to their individual responsibilities.

For example:

- Those with responsibilities for operating powered gates and/or roller shutters must be familiar with normal and emergency operating procedures.
- 3.18 Must follow information, instruction and training provided.
- 3.19 Must follow instruction provided by signage or those supervising vehicle operations.
- 3.20 Must report faults and accidents promptly.
- 3.21 Must wear specific PPE (e.g. high visibility clothing and appropriate footwear provided by HMPPS) where required to do so and report any faults or issues to their line manager or supervisor immediately it is apparent.

#### **4. Constraints**

- 4.1 Governors and Heads of Group must not place staff, prisoners or visitors at increased risk by failing to implement and monitor controls.
- 4.2 Governors and Heads of Group should not fail to undertake consultation on changes to safe working practices and revised risk assessment outcomes.
- 4.3 Governors and Heads of Group must not purchase vehicles or commission services involving vehicle use or operation without seeking advice on the safe operation of same.

#### **5. Guidance**

##### General Guidance on Developing Assessment and Control of WPT Risk

##### *5.1 Introduction*

- 5.1.1 Assessment is a process which involves integrating knowledge of the site's operations with observation and consultation with those effected by the risks and drawing conclusions as to what, if anything, needs to be done to adequately control or minimise the risk.
- 5.1.2 The movement of vehicles and plant within workplaces is a high-risk activity. In prisons this risk is compounded by the need for staff to escort vehicles on site, the levels and patterns of pedestrian traffic, the variety of layouts, roadways, vehicle gates, loading and delivery areas and physical gates.
- 5.1.3 There are five main types of accidents associated with workplace transport. These are:
  - People being struck by or run over by a vehicle
  - People being crushed between something static and the vehicle (most often when reversing)
  - People being struck by something falling from a vehicle
  - People falling from vehicles
  - Vehicles overturning.

##### *5.2 Assessing Workplace Transport Risk*

- 5.2.1 For workplace transport risk, especially in large sites, the outcome of an effective assessment may take the form of a local Traffic Management Plans (TMP) and safe systems of work for the control of workplace transport risk.
- 5.2.2 Such plans may include layouts of the site showing vehicle and pedestrian routes and methods of physical or procedural risk control. They may incorporate instructions about the timing of vehicle operations at times of low pedestrian traffic etc.
- 5.2.3 The procedures derived from an effective holistic risk assessment of the establishment's vehicle and pedestrian traffic and vehicle use may well appear as separate documents (for example relating to vehicle gate operations as opposed to the use of forklift trucks).
- 5.2.4 The other component of the traffic management plan is the medium- and long-term development of enhanced or additional controls, beyond those required to achieve reasonably practicable control, to be included in wider establishment development plans and bids.



- 5.2.5 The development of a practical and effective Traffic Management Plan will involve the contribution of all those responsible for executing and controlling vehicle and pedestrian movements on site (see [Annex A](#)). The scale and complexity of any TMP will relate to the level of risk and size of site and extent of its vehicle operations.
- 5.2.6 When non-standard operations are in-place, for example when major contract works are underway, the TMP can be appropriately adjusted.
- 5.2.7 [Annex A](#) provides specific guidance on the development of the TMP.
- 5.3 *Training and Information*
- 5.3.1 Training, information and instruction are very important considerations to enable effective control and are essential in certain situations
- 5.3.2 A training program for vehicle escorts and trainers is provided through HMPPS Learning and Development Directorate with content agreed with both Health and Safety and Transport policy leads.
- 5.3.3 Information for visiting drivers is provided in the annexes (see Point 5.6.1) and can be amended as indicated by the assessment with details of particular hazards, speed limits, parking controls etc.
- 5.4 *Fork Lift Drivers*
- 5.4.1 FLT Driver health assessment and screening processes and forms are laid out on MyHub. Identified prisoners are required to pass appropriate security clearance and assessment of fitness.
- 5.4.2 HSE's Approved Code of Practice on rider-operated lift trucks provides guidance on FLT driver training and screening. Specific requirements are identified in the 'Requirements', section 3.
- 5.5 *Personal Protective Equipment*
- 5.5.1 Where the risk assessment has identified that personal protective equipment (PPE) is required it is important that it is suitable for the user and the risk it is designed to control and that its use is monitored by managers.
- 5.5.2 PPE is available via the purchasing catalogue and local health and safety advisors can be consulted on suitability.
- 5.6 *Vehicle Escorts*
- 5.6.1 Escorting vehicles is a high-risk operation needing systems to protect staff who work as vehicle escorts. Annexes [C](#), [D](#) and [E](#) provide exemplar control measures relating specifically to Vehicle Escorts and visiting drivers.
- 5.7 *Delivery and Despatch*
- 5.7.1 When letting or re-letting contracts with companies which will regularly deliver goods to the prisons, consideration should be given to the size of the vehicle that will be used to ensure that they can easily manoeuvre into and around the prison in a safe manner.

- 5.7.2 For one-off consignments, access, manoeuvring and loading option should be discussed between the consignor and receiving establishment. Consignors, drivers and receiving establishments have a duty to co-operate to ensure safety throughout the delivery or collection process.
- 5.7.3 In letting contracts, consideration can also be given to specifying vehicle and driver training standards such as reversing aids, alarms, cameras etc. on delivery vehicles.
- 5.7.4 Establishments should consider the timing of deliveries to reduce risk and where contracted service providers are bringing goods into the premises, the written agreement between the establishment and the contractor should cover arrangements for proper consultation on the timing of such.
- 5.7.5 Establishments should be robust in controlling the driving standards of visiting drivers challenging poor standards with the driver at the time and raising serious breaches with the organisation providing the service.
- 5.8 *Procedures and Safe Systems of Work*
- 5.8.1 Exemplar operating procedures, agreed and understood by all parties are likely to include the following topics:
- Escorting vehicles
  - Operation of Vehicle gates
  - Reversing
  - Loading/unloading
  - Tipping
  - Sheeting
  - Emergency Vehicle Access
- 5.9 *Signage*
- 5.9.1 Where risk assessment determines that signage is required, caution must be given not to overload drivers and escorts with notices and information to the point that they are ignored. The Health and Safety (Safety Signs and Signals) Regulations 1996 and the Highway Code provide the standards for road signs, for consistency and clarity.
- 5.10 *Monitoring*
- 5.10.1 Monitoring by those with direct responsibility for vehicle operations and large-scale pedestrian movement, where there is no day-to-day oversight, includes observation and discussion with staff at a frequency appropriate to the risk and the reliability of control measures as determined by risk assessment.
- 5.10.2 HS Governance and assurance visits incorporate the state of WPT safety as does the PHASE process.

### Tools for Undertaking the Assessment and Developing the TMP

1. An effective risk assessment is not simply an inspection of the WPT activity on site at a particular time though observation of the operations will make an important contribution. Managers and staff whose duties control or are affected by the pedestrian and vehicle operations on site can be usefully involved. In prisons obvious candidates include gate and vehicle lock staff, operations managers in charge of regimes and movements; vehicle escorts, union representatives; managers of estates services (whether contracted or not) stores and reception staff and managers. Items for consideration include:
  - The Workplace
  - The Vehicles
  - The traffic layout, surfaces, signing, lighting etc.
  - The Drivers and those interacting with them
  - The Vehicle and Pedestrian Operations
  - Reasonably foreseeable, but unusual, circumstances bad weather, emergencies, breakdowns, human factors etc.)
2. Staff in general will know instinctively where there are particular difficult circumstances or where existing processes are insufficient or impracticable. The starting point of the assessment is not necessarily that improvements will have to be made, but that the effectiveness of risk control is considered openly.
3. The assessment process should bring together existing relevant documentation and use layout plans of the site at a scale that allows identification of both formal and informal traffic routes. It should consider routine and non-routine vehicle access and cross refer the hazards in the list at Annex A with particular site locations or vehicle routes and activities obvious areas for inclusion are:
  - Gate lock operations
  - General Vehicle Escorting
  - Stores deliveries
  - Prisoner Reception and PECS Vehicle Management
  - Taxi access and egress
  - Waste vehicles
  - Industries and Education Servicing
  - Emergency vehicles
  - Fork Lift Truck (FLT) operations
  - On site transfer vehicles
  - Routine and non-routine maintenance vehicles
  - Mobile Elevated Work Platforms (MEWPs)
  - Dumpers
  - Loaders
  - Mobile cranes
4. The forms and checklists included here allow for recording of the process and findings of the assessment. These can be transferred to the online Sphera Risk Assessment Platform which facilitates access to, distribution, review and authorisation of assessments and associated support documentation. The Traffic Management Plan will be the up to date, comprehensive assembly of the responsibilities, procedures, groups and action plans arising from the assessment work and will comprise a “business as usual” component

outlining how current risk is to be adequately managed and a longer-term plan for consideration of improvement option above and beyond current reasonably practicable controls.

### WORKPLACE TRANSPORT RISK ASSESSMENT CHECK LIST

Ref		YES	NO	ACTIONS REQUIRED
	<b>Site Layout</b>			
1	Are the roads and footways suitable for the types and volumes of vehicular traffic and pedestrian traffic using them?			
2	Are vehicles and pedestrians kept safely apart?			
3	Are there suitable pedestrian crossing points on vehicle routes?			
4	Is the level of lighting in each area sufficient for the level of pedestrian and vehicle activity?			
5	Are there suitable parking areas for all vehicles?			
6	Do vehicle routes avoid sharp or blind bends?			
7	Can one-way routes be used on vehicle routes?			
8	Is there a safe pedestrian route that allows visiting drivers to report for instructions when entering the site?			
	<b>Vehicle traffic routes</b>			
9	Are traffic routes wide enough for the vehicles required to use them?			
10	Do they have firm, even surfaces?			
11	Are they free from obstructions and other hazards?			
12	Are they well maintained?			
	<b>Suitable Safety Features</b>			
13	Are roadways marked where necessary, e.g. to indicate the right of way at road junctions?			
14	Are road signs, as used in the Signs and Signals Regulations 1996 and Highway Code, installed where necessary?			
15	Are features such as fixed mirrors (to provide greater vision at blind bends) provided where necessary?			
16	Are barriers to keep vehicles and pedestrians apart provided where necessary?			
17	Are road humps to reduce vehicle speeds provided where necessary?			
18	Are written rules available for workplace transport?			
19	Are visiting drivers provided with a copy of the prison's Instructions for visiting drivers (See Annex E)			

## WORKPLACE TRANSPORT RISK ASSESSMENT CHECK LIST

Ref		YES	NO	ACTIONS REQUIRED
	<b>PART 2: THE VEHICLES</b>			
	<b>Safety and Suitability</b>			
20	Have suitable vehicles and attachments been selected for the tasks which are actually undertaken?			
21	Do vehicles have good direct visibility or devices for improving vision where reversing cannot be eliminated and where significant risk still remains e.g. external and side mirrors, vision aids such as CCTV, sensing devices?			
22	Are vehicles provided with horns, lights, reflectors, reversing lights and other features as necessary?			
23	Do they have effective service and parking brakes?			
24	Do they have seats and seatbelts where necessary?			
25	Is the wearing of seat belts enforced?			
26	Are there guards to prevent access to dangerous parts of the vehicles, e.g. power take-offs, chain drives, exposed exhaust pipes?			
27	Do drivers have protection against bad weather conditions, or against an unpleasant working environment, i.e. the cold, dirt, dust, fumes and excessive noise and vibration?			
28	Is there a safe means of access to and from the cabs and other parts that need to be reached?			
29	Are vehicle surfaces e.g. tail lifts, sheeting platforms; gantries and steps slip resistant and where necessary, provide protection against falls from height?			
30	Is driver protection against injury in the event of an overturn, and measures in place to prevent the driver being hit by falling objects, provided where necessary?			
	<b>Vehicle Maintenance</b>			
31	Are there procedures in place for drivers to carry out basic safety checks before using vehicles?			
32	Are drivers trained to carry out basic vehicle safety checks?			
33	Is there a regular, preventative maintenance programme in place for each vehicle, carried out at predetermined, regular intervals or mileage?			
34	Where vehicle attachments lift people or materials are the required thorough examinations taking place to specified timescales?			

## WORKPLACE TRANSPORT RISK ASSESSMENT CHECK LIST

Ref		YES	NO	ACTIONS REQUIRED
	<b>PART 3: ALL DRIVERS (STAFF, PRISONER, AND THIRD PARTY EMPLOYEES)</b>			
	<b>Drivers – Selection and Training</b>			
35	Do drivers possess the necessary licences or certificates for the vehicles they are authorised to drive e.g. FLTs, MEWPs, site dumpers, etc.?			
36	Are drivers assessed to ensure that they are competent?			
37	Is specific training on how to perform the job safely, and information given about particular hazards, speed limits, the appropriate parking and loading areas, etc. given to all drivers?			
38	Is there a planned programme of refresher training for drivers and others to ensure their continued competence?			
39	Have all vehicle escorts received adequate training?			
40	Are systems in place for carrying out lift truck driver health assessments in line with this policy framework?			
	<b>Management Control/Supervision</b>			
41	Are site rules documented and brought to the attention of all employees?			
42	Are supervisors, drivers and others, including contractors and visiting drivers, aware of the site rules?			
43	Are supervisors, drivers and others, including contractors and visiting drivers aware of their responsibilities in terms of helping to maintain a safe environment?			
44	Are sanctions applied when employees, contractors, etc. fail to maintain these standards?			
45	Are adequate steps taken to detect unsafe behaviour of drivers of both site and visiting vehicles as well as pedestrians?			
46	Are the underlying reasons investigated to correct unsafe behaviours?			
	<b>PART 4: VEHICLE ACTIVITIES</b>			
	<b>Reversing</b>			
47	Have drive-through, one-way systems been used, wherever possible to reduce the need for reversing?			
48	Where reversing areas are needed are they marked to be clear to both drivers and pedestrians?			

## WORKPLACE TRANSPORT RISK ASSESSMENT CHECK LIST

Ref		YES	NO	ACTIONS REQUIRED
49	Are non-essential personnel excluded from areas where reversing occurs?			
50	Are there external side-mounted and rear-view mirrors on the vehicles to provide optimum visibility?			
51	Have additional aids e.g. CCTV been fitted to vehicles to eliminate or reduce blind spots during any unavoidable reversing?			
	<b>Parking</b>			
52	Do drivers use designated parking areas?			
53	Are vehicles and trailers always braked and secured before they are left parked?			
	<b>Loading/Unloading</b>			
54	Are loading / unloading operations carried out in an area away from passing traffic, pedestrians and others not involved in the loading / unloading operation?			
55	Are the load(s), the delivery vehicle(s) and the handling vehicle(s) compatible with each other?			
56	Are loading / unloading activities carried out on ground that is flat, firm, and free from potholes?			
57	Are parking brakes always used on trailers and vehicles to prevent unwanted movement, e.g. when coupling?			
58	Are the vehicles braked and/or stabilised, as appropriate, to prevent unsafe movements during loading and unloading operations?			
59	Are systems in place to prevent trucks driving away while they are still being loaded/unloaded?			
60	Are lorry drivers and others kept in a safe place away from the vehicle while loading/unloading is carried out?			
61	Is there a safe area marked where drivers can observe loading (if necessary)?			
62	Is appropriate lifting equipment available for loading/unloading vehicles?			
63	Is loading / unloading carried out so that, as far as possible, the load is spread evenly?			
64	Has the need for people to go on to the load area of the vehicle been eliminated where possible and if not, is safe access provided and used?			

## WORKPLACE TRANSPORT RISK ASSESSMENT CHECK LIST

Ref		YES	NO	ACTIONS REQUIRED
	<b>Sheeting</b>			
65	Are ground based sheeting methods used?			
66	Are sheeting and unsheeting operations carried out in safe parts of the workplace, away from passing traffic and pedestrians and sheltered from strong winds and bad weather?			
67	Where manual sheeting is unavoidable, is there a system in place which avoids the need for a person to climb on the vehicle or load, i.e. by providing a platform from which loads can be sheeted?			
69	Are the vehicles parked on level ground with their parking brakes on and the ignition key removed?			
	<b>Tipping</b>			
70	Do visiting drivers report to the site manager for any relevant instructions prior to commencing tipping operations?			
71	Are non-essential personnel excluded from tipping areas?			
72	Are tipping operations undertaken on ground that is level and stable, and a location free from overhead hazards such as power lines, pipe work, etc.?			
73	Where sites are not level and stable, are the tipping faces safe for vehicles involved in tipping operations, e.g. compacted and no side slopes?			
74	Are suitably sized wheel-stops provided where vehicles need to reverse prior to tipping?			
	<b>PPE</b>	Describe and reference		
75	Where other controls leave residual risks, (e.g. Hi visibility clothing, safety footwear, safety headwear, hand, eye & ear protection, safety harnesses) has the need for PPE been assessed and implemented)?			



**Findings and Risk evaluation:**

**Overall Action plan;** identifies control measures that are to be implemented to manage risks  
dates for implementation and responsibilities

**NON-EXHAUSTIVE LIST OF WORKPLACE TRANSPORT HAZARDS AND POSSIBLE CONTROL MEASURES**

The list of workplace transport hazards and possible control measures listed below is not exhaustive and the risk assessment may identify additional hazards and options for prevention and control. Workplace hazards involving vehicles and mobile plant may occur during;

- Pedestrian movement
- Vehicle or plant reversing and manoeuvring
- Arrivals and departures
- Vehicle gate operations
- Loading and unloading
- Hitching or unhitching of trailers
- Mounting or dismounting from vehicles
- Securing loads
- Dumping
- Sheeting
- Movement of materials and
- Maintenance work

Causes of falls from vehicles include;

- Slipping and falling from loads and access steps and ladders
- Broken ropes or sheets causing overbalancing
- Inappropriate footwear
- Bad weather
- Lack of awareness and training

Reversing, loading, unloading and pedestrian movement are the activities most frequently linked with workplace vehicle accidents.

It is imperative an appropriate risk assessment is in place to ensure adequate control measures are in place such as pedestrian exclusion zones and suitable supervision of the task etc.

**POSSIBLE CONTROL MEASURES****Workplace Traffic Routes**

Workplace routes should be:

- Safe for both vehicles and pedestrians at the workplace
- Wide enough for the largest vehicle using them, including the load
- Sufficient separation of any vehicular traffic route where either doors or gates or pedestrian traffic routes lead onto it or where vehicles and pedestrians use the same traffic route.
- One-way if possible, with adequate passing space around stationary vehicles;
- If one way is not possible reversing areas or turning circles should be considered

- Surfaced with bitumen, concrete or other suitable material that is well drained; and free from excessive gradients, with steep gradients that cannot be avoided clearly signposted.
- Slopes can make operating vehicles difficult, especially in poor weather Lift trucks and similar plant should only operate on gradients if they are designed to do so.
- Unsealed routes at temporary workplaces, such as construction sites and forestry operations, should be designed and controlled to ensure safe vehicle movement.
- Workplace routes should be well maintained and:
- Free from obstructions, grease or slippery substances
- Free from damage to surfaces

### **Visibility**

Needs to be good enough to allow drivers to see and avoid hazards. Sharp or blind bends on vehicle routes should be avoided as far as possible.

Where you can't avoid them, there should be enough visibility at Junctions and bends to allow drivers and pedestrians to see each other and any additional hazards.

### **Lighting**

All traffic routes and manoeuvring areas should be adequately lit, particularly near junctions, buildings and pedestrian routes. Sudden changes in lighting levels should be avoided.

### **Speed**

Limiting the speed of vehicles in the workplace will help to control the traffic.

Routes should be clearly signed at regular intervals and be appropriately enforced.

### **Signs, signals and markings**

Should be in place to inform drivers and pedestrians about potential hazards and give information to drivers.

- They should be placed so that people have time to see and understand them and then take action before they reach the hazard
- Be clear and easy to understand,
- Stand out enough to be noticed
- Used to indicate restricted parking, headroom, speed limits, vehicle movement and other route hazards
- Be reviewed regularly to make sure they are still relevant to the hazard

### **Pedestrians**

The safest way to protect pedestrians is to provide:

- Separate, clearly marked footpaths or walkways
- Pedestrian exclusion zones where reversing, loading and unloading take place
- Pedestrian barriers at building entrances and exits to prevent pedestrians walking in front of vehicles
- Traffic routes wide enough for safety where separation is not practicable
- Marked traffic routes, for example lines painted on the floor or ground
- Separate access ways for vehicles and pedestrians into buildings or enclosures
- Vision panels in pedestrian doors entering vehicle areas
- Rules regarding pedestrian right of way

Workplaces where pedestrians have to cross vehicle routes should have:

- Clearly visible ground markings and signs
- Clear pedestrian and vehicle visibility
- Adequate lighting.

### **Vehicle Gate Operations**

Vehicle gates have the potential to cause serious injury to pedestrians, all powered doors and gates must be properly designed, installed and maintained to prevent possible injuries.

- Those operating powered vehicle gates should be suitably trained to operate gates in both normal and emergency situations
- Have sufficient unobstructed visibility to observe the gate operation at all times
- Have ready access to stop the gate movement in the event of emergency i.e. emergency stop device or switch, through the use of an operating control which must be held in position during the whole closing motion
- Any powered gate must be fitted with suitable and effective safety features such as safe edges, motion detectors and trip devices to prevent people being injured as a result of being struck or trapped
- It should be possible to open a power-operated door or gate manually if the power supply fails, unless it opens automatically in such circumstances
- Where tools are necessary for manual opening, they should be readily available at all times

Manual operated gates should be securely pegged back when opened to allow vehicle movement through. Particular care should be taken in windy conditions, where a two-person operation may be required to safely control the manual gate and avoid injury

Gates peg back holes should be maintained and kept clear of debris, leaves and silt build up, where faults are identified these should be reported immediately.

### **Reversing**

Most reversing accidents can be avoided by:

- Removing the need for reversing, e.g. with drive through loading and unloading systems
- Minimising the need for reversing, e.g. by reorganising loading and unloading procedures
- Providing and managing clearly marked reversing areas visible to drivers and pedestrians;
- Providing and managing larger reversing areas
- Keeping reversing alarms in good working order and loud enough to be heard above other noises at the workplace
- Using radios and other communication systems
- Installing fixed mirrors at blind corners
- Using flashing reversing lights on vehicles if workplace noise is too loud for reversing alarms to be heard
- Fitting refractive lenses on rear windows to help drivers see 'blind spots'.

## **Parking**

The type of parking area will depend on what vehicles are used at the workplace (including visiting vehicles), where they go and what they are used for. Parking areas should:

- Be clearly signposted
- Be firm
- Be level
- Be well lit (if possible)
- Not be slippery
- Drivers leaving parked vehicles should not have to cross potentially dangerous work areas.

## **Tipping**

Tipping sites should be:

- Level
- Firm and stable (the whole site to be able to hold the vehicle and load during tipping)
- Clear overhead (no power cables or pipe work)

## **Loading and Unloading**

Loading and unloading can be one of the riskiest transport tasks. Loading and unloading should be:

- Carried out in an area away from passing traffic, pedestrians and others not involved in the loading/unloading operation
- Be level -to maintain stability, trailers should be parked on firm level ground
- Clear of overhead cables, pipes or other dangerous obstructions
- Fenced or provided with edge protection where there is a danger of people falling
- If necessary, protected against bad weather: e.g. strong winds can be very dangerous during loading
- Provide a safe place for drivers where they can wait if they are not involved in the loading/unloading procedure

## **Falling from Vehicles**

Falls from vehicles can be reduced by:

- Using gauges and controls that are accessible from the ground
- Using automatic sheeting systems which avoid the need for workers to climb onto vehicles
- Restricting access to vehicles to people who cannot avoid doing so
- Consider providing a fixed or portable working platform with fall protection
- If the work at height cannot be avoided providing personal protective equipment
- Ensuring that the levels of lighting provided are adequate
- Providing appropriate footwear
- Providing information and training for staff

## Guidance on Control Measures for Vehicle Escorts

Escorting vehicles is an essential and inevitable activity in prisons. The focus, therefore, has to be on implementing control measures to reduce the risks as low as is reasonably practicable. Control measures will include ensuring that the site layout is as safe as is reasonably practicable and that training, safe systems of work and other measures are in place to ensure the safety of vehicle escorts.

Measures to ensure the safe layout of the site may include:

- Removing the need for reversing whenever possible;
- Planning out and clearly marking reversing areas;
- Using mirrors to reduce blind spots;
- Ensuring that vehicles contracted to come into prisons are fitted with audible alarms;
- Posting suitable signage;
- Considering the size of vehicles and reversing videos/CCTV when letting delivery and other contracts.

Where vehicle escorts are being used the following measures should be implemented:

- Appropriate training;
- Adequate supervision;
- Safe systems of work;
- Provision of written instructions to visiting drivers;
- Provision of personal protective equipment;
- Investigation of all transport related accidents and near misses;
- Implementing systems to deal with drivers who do not conform to Prison Service rules.

These lists are not exhaustive and other measures may be identified through the local risk assessment.

### Training

Vehicle escorts must receive appropriate training to carry out their role safely. A training programme is provided through HMPPS Learning and Development which includes a Train the Trainer package to train staff to deliver the vehicle escort package locally.

### Safe Systems of Work

Safe systems of work should be prepared for vehicle escorts to follow at all times. Safe systems of work should reflect the results of the local risk assessment and local circumstances.

### Personal Protective Equipment

All vehicle escorts should wear appropriate footwear provided by HMPPS and be provided with high visibility jackets with long sleeves as personal protective equipment. These should be worn at all times when escorting vehicles.

Where safe proximity from vehicles can't be achieved due to site layout, a local risk assessment should determine the need for additional controls.

## **Instructions to Visiting Drivers**

All visiting drivers in prisons should be given a copy of the prison's Instructions to Visiting Drivers (Annex E) before they are allowed to drive on site. It is expected that these are followed at all times by all visiting drivers. This may be used to develop local instructions to drivers based on local circumstances and conditions.

## **Accident and Near Miss Reporting and Investigation**

All transport related accidents and near misses on site should be reported and investigated and measures put in place to prevent recurrence. Arrangements for reporting and investigation of accidents and near misses are set out in National Policy within' the "Health and Safety arrangements for the Management of Accident reporting, recording and investigation".

## **Drivers who do not Conform to Prison Service Rules**

Managers responsible for vehicle escorts should ensure that procedures are in place for escorts to report any failure on the part of drivers to comply with the Instruction to Visiting Drivers or any other instruction that may be given. Any such failure should be investigated and action taken to prevent recurrence.

## **Training for Vehicle Escorts on Construction Sites**

Managers should ensure that staff who are tasked with escorting vehicles on constructions are given adequate training for this task.

### Vehicle Escort Generic Safe Operating Procedure

***Wear your long sleeve high visibility jacket and appropriate footwear issued by HMPPS at all times when escorting vehicles.***

1. Provide the driver with the driver instruction card and ask them to read it and discuss anything that they not understand with you before restarting the vehicle in the vehicle lock.
2. Instruct drivers to turn off engines whilst the vehicle is in the vehicle lock.
3. Tell the driver that he must not restart the engine or commence driving until you have instructed him to do so.
4. Where there is a passenger, establish if it is the driver's intention for the passenger to assist in final manoeuvre of the vehicle. If so verbal confirmation of competency should be established.
5. You should instruct the driver to start the engine or commence driving only when you are sure that the area is clear and that it is safe to do so.
6. Use appropriate hand signals at all times.
7. Lock back or pin back each gate before signalling the driver to pass through gates.
8. When escorting a vehicle around the site you should walk to the front offside of the vehicle wherever possible.
9. Always keep at a safe distance from the vehicle, maintain a minimum 1 metre distance from the vehicle, preferably 2 metre distance.
10. Do not allow pedestrians in close proximity to the vehicle. You must instruct pedestrians to remain at a safe distance from the vehicle while it is moving.
11. When a reversing manoeuvre is to be carried out instruct the driver to stop the vehicle immediately if he loses sight of you.
12. When a vehicle is reversing you must position yourself at a safe distance away ensuring that you always stay within sight of the driver. Remember if you cannot see the drivers' wing mirrors, they cannot see you.
13. If the instructions given by you to a driver or the local rules on safe driving on site are not obeyed for any reason you must report this to your line manager as soon as possible for a formal complaint to be raised with the driver operator.
14. Report all accidents or near misses involving vehicles to the orderly officer and your line manager immediately.
15. Drivers are responsible for securing their loads and properly stowing away any lifting aids before moving off.

Where safe proximately from vehicles can't be achieved due to site layout, a local risk assessment should determine the need for additional controls.



### Generic Instructions to Visiting Drivers

**All drivers entering XX Prison must follow the instructions given below at all times.**

1. Engines must be turned off when the vehicle is in the vehicle lock.
2. Do not restart the engine until the vehicle escort has instructed you that the area is clear and that it is safe to do so.
3. You must follow the designated route as indicated by the vehicle escort.
4. Pedestrians must always be given right of way.
5. Vehicles must never exceed the 5mph speed limit (walking speed).
6. On routes where vehicles and pedestrians share the same route, vehicles must keep as far away as possible from the pedestrian designated lane.
7. Vehicles must never park on pedestrian lanes.
8. You must give an audible warning on approaching a bend or blind turn.
9. You must give an audible warning when approaching an area where people are working.
10. You must give an audible warning prior to reversing your vehicle.
11. Vehicles parking in the Secure Vehicle Compound must reverse park so that the vehicle is facing into the compound and ready to leave the establishment.
12. When reversing you must stop the vehicle immediately if you lose sight of the escort.

## Annex F

Accidents	Any adverse and unintended event which has caused injury or ill-health. This includes assaults.
Contractors	Organisations commissioned to undertake work on behalf of HMPPS
GIAA	Government Internal Audit Agency undertaken by MoJ's Independent Audit Assurance Team in HMPPS's custodial sites
Cardinus	Cardinus Workstation Safety Plus ® is HMPPS' software application for use by staff for the delivery of both risk assessment and training about safe use of computer workstations.
DSE	Display Screen Equipment – Computer and CCTV display equipment and workstations
HSE	Health and Safety Executive – Government Agency responsible for enforcing health and safety legislation in prisons
IP	Injured Party following an accident
Near Miss	Any adverse and unintended event which would have caused injury or ill-health but for some reason did not, this includes assaults.
PHASE	HMPPS OHSF Risk Control and Evaluation Tool within Sphera– a reporting device to measure OHSF Performance at regular intervals across HMPPS services
OHSF	Occupational Health, Safety and Fire. This abbreviation is used to cover the whole range of OHSF risks. Where the term is used without the O and/or the F it is intended to indicate that the reference excludes that aspect of the risk or refers to the abbreviation as used in a specific role title. Hence HS is used where references to occupational health and fire safety are <b>intended to be excluded</b> and HSF in respect of HMPPS employed advisors.
HSF Advisor	Health, Safety and Fire Advisor working in a particular location whose role it is to provide professional HSF advice and support.
Senior HSF Advisor	A manager who provides professional HSF advice and leadership to the local HSF Advisor and SMT team in a particular location or service.
OHSF Sponsors	A senior manager in particular HMPPS location or service whose role it is to provide leadership on OHSF matters and ensure that OHSF work is expedited and that senior colleagues keep OHSF issues in mind when making management decisions. The OHSF Sponsor is not an advisor or expert.
OSSP	On-Site Service Providers – contractors engaged to deliver ongoing services on HMPPS' premises such as education, healthcare, facilities management etc. As distinct from contractors attending to undertake discrete, time-limited pieces of work.
Prisoners/Offenders	In instruction covering both community and custody the former relates to those in custody, the latter to those in community.
PPE	Personal Protective Equipment
Sphera	Sphera Safeguard ® HMPPS' Accident Recording and OHSF Management Software
Safety Tour	A walkthrough of a premises in whole or part by a Senior Manager with a view to considering the health and safety of those using the premises and any issues or concerns they have
SDM	Service Delivery Manager – HMPPS Manager responsible for local oversight of TFM contract.
SMT	Senior Management Team(s)

TFM Providers	Contractors, their employees and subcontractors who are engaged by HMPPS to provide facilities management services to HMPPS premises
Training	Training, instruction and information relating to health and safety is covered in this instruction by the generic term 'HS Training'. The individual terms are used where it is intended to distinguish between the three
WPI	Workplace Inspection – formal visual check of the state of a workplace or part thereof, to identify immediately visible hazards, put in place steps to remove them and make a brief record of the WPI
WPT	Workplace Transport