



# Strategic Planning & Environment

## Overview & Scrutiny

### Agenda

**TUESDAY 28 JANUARY 2020 AT 7.30 PM**

#### **Conference Room 2 - The Forum**

The Councillors listed below are requested to attend the above meeting, on the day and at the time and place stated, to consider the business set out in this agenda.

#### Membership

Councillor Barrett  
Councillor Beauchamp  
Councillor Birnie (Chairman)  
Councillor P Hearn  
Councillor Hobson  
Councillor Ransley  
Councillor Riddick

Councillor Rogers  
Councillor Silwal (Vice-Chairman)  
Councillor Stevens  
Councillor Taylor  
Councillor Timmis  
Councillor Woolner

For further information, please contact Corporate and Democratic Support or 01442 228209

### **AGENDA**

**1. MINUTES**

To agree the minutes of the previous meeting.

**2. APOLOGIES FOR ABSENCE**

To receive any apologies for absence.

**3. DECLARATIONS OF INTEREST**

To receive any declarations of interest.

**4. PUBLIC PARTICIPATION**

**5. CONSIDERATION OF ANY MATTER REFERRED TO THE COMMITTEE IN  
RELATION TO CALL-IN**

**6. HEMEL GARDEN COMMUNITIES (Pages 3 - 32)**

7. **EVENT POLICY** (Pages 33 - 122)
8. **WORK PROGRAMME** (Pages 123 - 124)



<b>Report for:</b>	<b>Strategic Planning and Environment Overview and Scrutiny Committee</b>
<b>Date of meeting:</b>	<b>28<sup>th</sup> Jan 2020</b>
<b>Part:</b>	<b>1</b>
If Part II, reason:	

<b>Title of report:</b>	<b>Hemel Garden Communities</b>
<b>Contact:</b>	Cllr Graham Sutton, Portfolio Holder for Planning and Infrastructure  <b>Responsible Officer:</b>  James Doe, Assistant Director, Planning, Development & Regeneration  <b>Author:</b>  Nathalie Bateman, Team Leader Strategic Planning and Regeneration – Strategic Sites Delivery
<b>Purpose of report:</b>	To provide an update on Hemel Garden Communities
<b>Corporate objectives:</b>	The proposals for major development at North and East Hemel Hempstead and the transformation of Hemel Hempstead through the Hemel Garden Communities proposals are wide-ranging and relate to all corporate objectives.
<b>Consultees:</b>	Mark Gaynor, Corporate Director (Housing & Regeneration)
<b>Background papers:</b>	Reports to Cabinet on Hemel Garden Communities 30 July 2019 and 14 January 2020  Submitted St Albans Local Plan, SADC, 2019
<b>Glossary of acronyms and any other abbreviations used in this report:</b>	HCC – Hertfordshire County Council  HE – Homes England  HGC – Hemel Garden Communities

	<p>HHGT – Hemel Hempstead Garden Town</p> <p>LDF – Local Development Framework</p> <p>LEP – Hertfordshire Local Enterprise Partnership</p> <p>MHCLG – Ministry of Housing, Communities and Local Government</p> <p>PPA - Planning Performance Agreement</p> <p>SADC – St Albans City and District Council</p> <p>TCE – The Crown Estate</p> <p>TCPA – Town and Country Planning Association</p>
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## Introduction

1. Hemel Garden Communities (HGC) is a proposal for a major expansion of Hemel Hempstead to its East and North and accompanying town wide transformation proposals. The proposals have been supported by the Ministry of Housing, Communities and Local Government through the award of Garden Communities funding and support with its associated programme.
2. Recognising the exceptional need for growth, the authorities - Dacorum Borough Council (DBC), St Albans City and District Council (SADC), and Hertfordshire County Council (HCC), together with the Hertfordshire Local Enterprise Partnership (LEP) have agreed to work collaboratively and proactively to further the aims and objectives of the programme.
3. A report to Cabinet 30<sup>th</sup> July 2019 sets out the detailed background to the project with short-term programme intentions and governance matters.
4. On 2<sup>nd</sup> October a Spatial Visioning Workshop was held for HGC/Hemel Hempstead to engage with Members across the authorities and a wide spectrum of stakeholders. The purpose was to engender creativity and ownership of the garden community potential and to directly understand what hopes participants shared.
5. A Members' briefing was held on 10<sup>th</sup> October 2019 on HGC by Dacorum Officers to provide Hemel Hempstead Ward Councillors with some background to the project. A further briefing was held on 11 November 2019 for East Hemel Hempstead, HGC Phase 1 led by The Crown Estate with Dacorum officers.
6. Earlier this month, a further Cabinet report provided a detailed programme plan, with modified governance structure and supporting Terms of Reference, and Memorandum of Understanding. This work was developed with the support of the newly-established HGC Board and additional HGC team

resource, after considerable partnership working and consideration by the Board on 18 December 2019.

### **Programme Plan and governance changes**

7. To help guide and focus the project, an updated Strategic Memorandum of Understanding (MoU) and Governance Structure has been drafted between DBC, SADC and HCC (Appendices 1 and 2).
8. The revised MOU now defines HGC as the proposed development of around 11,000 homes and 10,000 jobs, located on the eastern and northern edge of Hemel Hempstead and the accompanying transformation of Hemel Hempstead as a whole. The accompanying mission statements have been combined into one and reads as follows:  
  
*Supported by Garden City Principles<sup>1</sup>, Hemel Garden Communities will take the best of the New Town heritage into the 21st century with over 11,000 homes and 10,000 jobs and Hertfordshire Innovation Quarter at its heart, anchoring the transformation of Hemel Hempstead and the wider area.*
9. The MOU sets out that the principal partners for the delivery of the Programme are the three Authorities and the LEP. A letter of support is required from the LEP to endorse the MoU and this was received in early January 2020.
10. The Terms of Reference for the Programme are set out in Appendix 3.
11. The Strategic Project Plan and operational project plan have been replaced with the Programme Plan (See Appendix 4). The Programme Plan has been developed with layers of information identifying high-level policies that apply to the proposal, a detailed programme, a delivery plan tracker, and risk register.

### **Next Steps**

12. The Hemel Garden Communities team is now resourced with a Lead Officer from each of the authorities and an Interim Programme Manager. The team will be dedicating a day a week to work in the same location together from January 2020.
13. Other key matters include:

*Resourcing a HGC project team* – A permanent Programme Manager will be recruited in early 2020. The funding provided by MHCLG was only part of the overall bid and work will continue to press for the remaining funding to be provided.

*Work priorities* - The team will also be responsible for progressing priority work streams including the HGC Spatial Vision and High Level Infrastructure

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<sup>1</sup> Town and Country Planning Association (TCPA), Garden City Principles, <https://www.tcpa.org.uk/garden-city-principles> (last accessed 26/11/2019)

Delivery Plan, both covering Hemel Hempstead and the wider town. These will feed into the HGC New Development Strategic Masterplan and HGC Transformational Plan Supplementary Planning Document (SPD) (Hemel Hempstead and wider town).

*Engagement Strategy* – A draft engagement strategy is expected by February 2020. The strategy will look at existing, as well as new and innovative ways of engaging with the public, elected members and key stakeholders to ensure everyone has a meaningful say on proposals as they emerge. Engagement with the Local Plans team to ensure the strategy benefits the emerging Local Plan is also essential.

*Local Plan* – The project team will work with the Local Plan teams at both Local Planning Authorities (LPAs) to ensure any emerging work on HGC is aligned by means of a strategic policy. Careful consideration will be needed to ensure that the policy meets the test of soundness and is sufficiently effective that it will be able to influence future development proposals across the town.

*HGC Phase 1* – The Crown Estate (TCE) as majority landowners for the initial phase of development on land to the east of Hemel Hempstead (predominantly in the administrative area of SADC) are working with DBC and SADC through a Planning Performance Agreement to develop evidence to inform a future planning application. The planning application for the first phase is expected to deliver c.2,500 new homes and the business park element of the scheme, mainly to SADC as Local Planning Authority later in 2020.

*Herts Growth Board Business Case* – The project team are working with Herts Growth Board to develop a business case for additional government resourcing for HGC as part of a growth bid for the programme supporting Hertfordshire's East-West Southern Growth Corridor.

## **Appendices**

- 1. Memorandum of Understanding**
- 2. Governance Structure**
- 3. Programme Terms of Reference**
- 4. Programme Plan**

## **Draft Strategic Memorandum of Understanding:**

**High level strategic cross-boundary approach to the Hemel Garden  
Communities Programme**

**FINAL DRAFT**

**January 2020**

This is a Memorandum of Understanding between the following authorities:

Dacorum Borough Council  
St. Albans City and District Council  
Hertfordshire County Council

### **1. Strategic Memorandum of Understanding purpose**

1.1 This Memorandum of Understanding (MoU) is intended to provide a high level statement of intent under the Duty to Co-operate to collaborate on strategic issues between St. Albans City and District Council (SADC), Dacorum Borough Council (DBC) and Hertfordshire County Council (HCC). Hereafter referred to as the Authorities. Whilst the Hertfordshire Local Enterprise Partnership (LEP) are not a signatory to this MoU, they are a partner to the Programme, and have provided a letter of support which can be found in Appendix 1.

1.2 The Authorities agree to work collaboratively, proactively and in good faith at an officer and Member level to further the aims and objectives of the Programme and delivery of the Programme Plan in accordance with this MoU.

### **2. Programme background**

2.1. In November 2018 a Hemel Garden Communities bid was submitted to Ministry of Housing, Communities and Local Government (MHCLG). The bid was

submitted by the three authorities, LEP, Herts Innovation Quarter (the Hertfordshire Enviro-Tech Enterprise Zone) and The Crown Estate. The bid was successful and Hemel Hempstead was awarded 'Garden Town' status.

2.2 Hemel Garden Communities (HGC) is a Programme that describes a proposed development of around 11,000 homes and 10,000 jobs, located on the eastern and northern edge of Hemel Hempstead and the accompanying transformation of Hemel Hempstead as a whole.

2.3 The land of the proposed development is divided roughly equally between the administrative area of SADC and DBC who are the Local Planning Authorities, and the existing town of Hemel Hempstead is located in the Borough of Dacorum. It is also wholly within the administrative area of HCC.

2.4 The HGC area as a whole is shown on a map in Appendix 2.

### **3. Mission statement:**

3.1 *Supported by Garden City Principles<sup>1</sup>, Hemel Garden Communities will take the best of the New Town heritage into the 21st century with over 11,000 homes and 10,000 jobs and Hertfordshire Innovation Quarter at its heart, anchoring the transformation of Hemel Hempstead and the wider area.*

### **4. Objectives**

4.1 In this context, the Authorities will work collaboratively to deliver HGC guided by the following objectives:

- a) Secure high quality, sustainable development within the new communities and existing Hemel Hempstead, in line with Town and Country Planning Association (TCPA) Garden City Principles;
- b) Ensure compliance and consistency with relevant and emerging policies and guidance from local to National level as well as the bid intentions;
- c) Identify the key strategic issues and ensuing work streams that will have a bearing across the Programme and wider surrounding area;
- d) Deliver Programme work streams within agreed deadlines to support the delivery of high quality, sustainable individual planning applications within the HGC area;
- e) Establish the infrastructure needs of the Programme and explore the mechanisms and models for funding and delivery;
- f) Identify the mechanisms within the planning process to ensure alignment with strategic Programme aims and design quality of individual applications, such as Joint Planning Performance Agreements (PPAs), s106 Heads of Terms, design codes and supporting planning application documents;
- g) Align and prioritise strategic investment priorities in support of transformative and sustainable growth, and to champion collectively for the necessary funding.

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<sup>1</sup> Town and Country Planning Association (TCPA), Garden City Principles, <https://www.tcpa.org.uk/garden-city-principles> (last accessed 26/11/2019)

## **5. Governance**

5.1 The principle partners for the delivery of the Programme are the three Authorities and the LEP. The Programme governance structure is set out in Appendix 3 and the Terms of Reference for the Programme are set out in Appendix 4.

5.2 As illustrated in the governance structure diagrams the HGC Programme operates within the context of the statutory duties and Powers of the principle partners. Nothing in this MoU shall affect the sovereignty of the Authorities nor shall this MoU constitute a partnership or joint venture between any of the Partners.

5.3 The constitutional and governance requirements of the Parties remain unchanged by this MoU. The Authorities will seek respective approvals for the arrangements and responsibilities of the Programme where necessary in accordance with their constitutional arrangements, in line with the Section 101 of the Local Government Act 1972.

5.4 This MoU, Governance structure and Terms of Reference will be reviewed annually or as needed and approved by the Board. They are considered live documents, subject to change and review as the Programme evolves.

## **6. Term and Termination**

6.1 This MoU shall commence following approval at the HGC Board and the subsequent approvals within each of the Authorities.

6.2 This MoU shall wholly terminate if the HGC Board is dissolved by a majority vote.

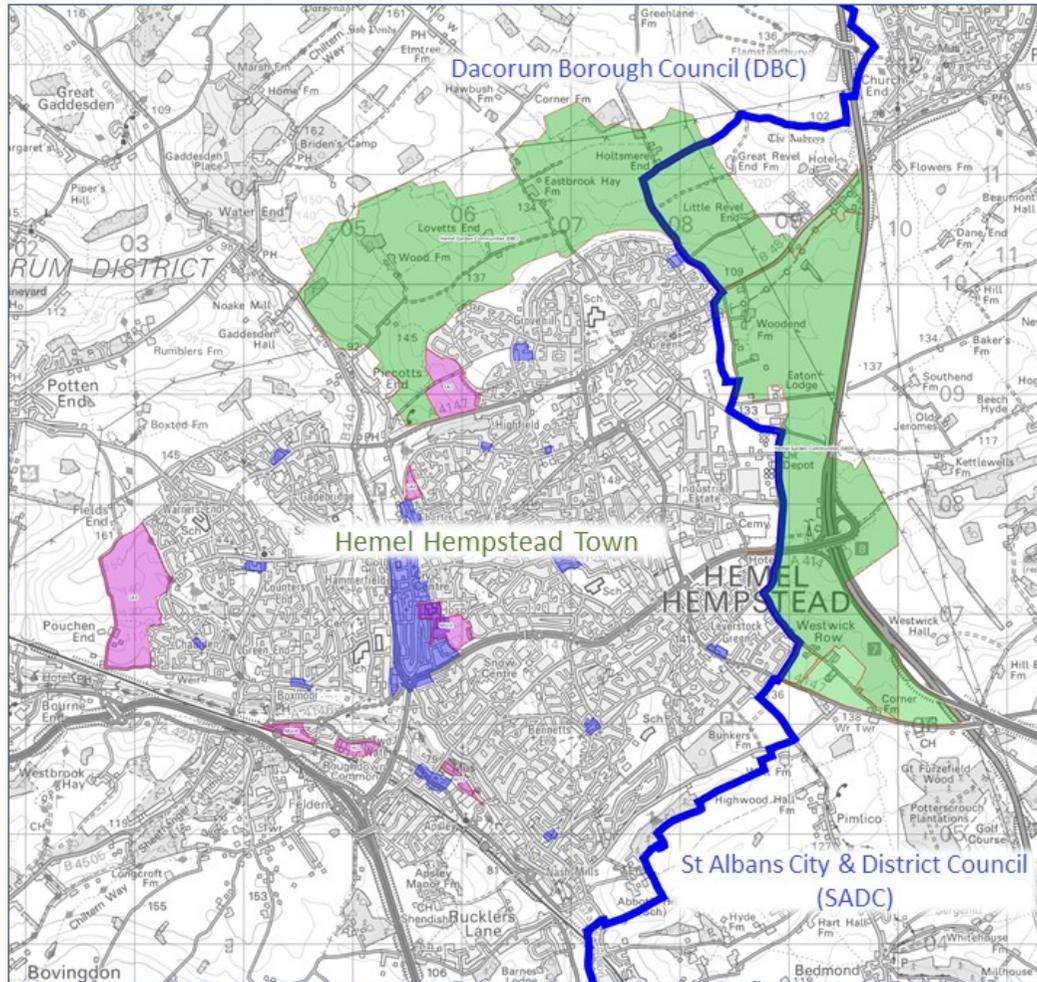
6.3 Any individual Authority may withdraw from this MoU by giving 30 days written notice to the HGC Board. The future of any projects and work streams that the individual Authority is involved in at the date of withdrawal shall be agreed by the HGC Board and any individual Authority agrees that involvement may continue (financial or otherwise) until the end of the project or work stream unless agreed otherwise.

6.4 This MoU is not intended to be legally binding and no legal obligations or legal rights shall arise between the parties from this MoU.

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SPAEO SC Report Appendix 1A - Letter of support from the Hertfordshire Local Enterprise Partnership

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**Hemel Garden Communities (HGC)  
Programme Area – January 2020**

**Key**

 District boundary

**Hemel Garden Communities Programme Area:**

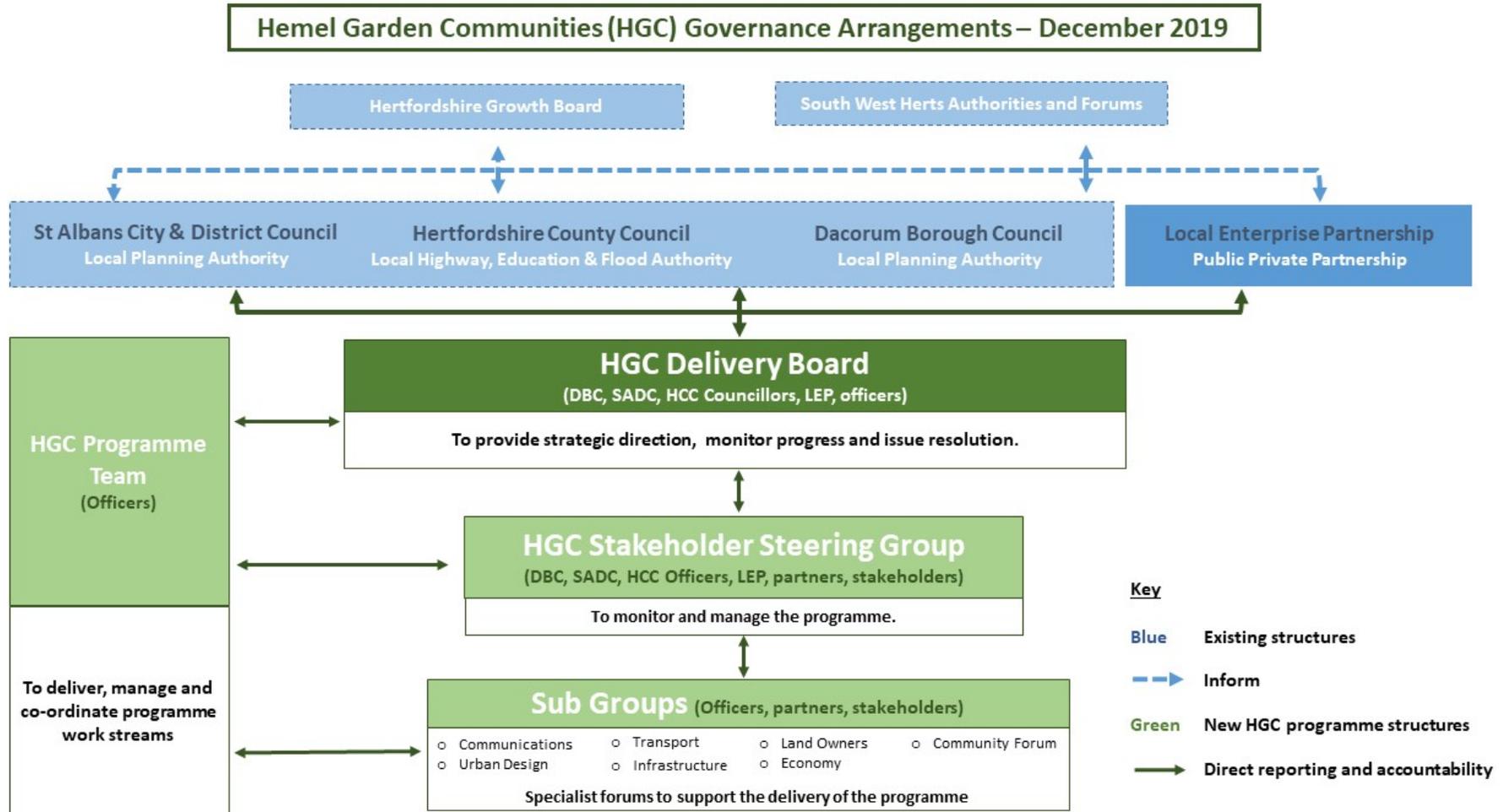
 DBC Strategic Sites and SADC Broad Locations

 Existing built up area of Hemel Hempstead Town including:

 DBC Existing allocations

 Hemel Hempstead town/local centres

Version no. 2



**High Level Overview of Responsibilities and Internal Governance Structures  
of the Hemel Garden Communities Partners – December 2019**

<p align="center"><b>St Albans City &amp; District Council</b> Local Planning Authority</p>	<p align="center"><b>Dacorum Borough Council</b> Local Planning Authority</p>	<p align="center"><b>Hertfordshire County Council</b> Local Highway Authority Local Education Authority Lead Local Flood Authority Statutory consultee Advisory consultee</p>	<p align="center"><b>Local Enterprise Partnership</b> Public Private Partnership</p>
FULL COUNCIL	FULL COUNCIL	FULL COUNCIL	BOARD
CABINET	CABINET	CABINET	CHAIRS' PANEL
PLANNING POLICY COMMITTEE	OVERVIEW AND SCRUTINY COMMITTEE	PANELS	PROGRAMME MANAGEMENT COMMITTEE
SCRUTINY COMMITTEE			

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SPAEOOSC Report - Appendix 3 – Terms of Reference

3.1 HGC Delivery Board	Pages 13- 15
3.2HGC Stakeholder Steering Group	Pages 16 – 17
3.3 HGC Stakeholder Steering Group – Sub-groups (Generic)	Page 18
3.4 HGC Programme Team	Page 19

# **Hemel Garden Communities Delivery Board**

## **Terms of Reference**

### **Councillor Board to provide strategic direction, monitoring progress and issue resolution.**

#### **1. Purpose**

To govern and steer the delivery of the Hemel Garden Communities Programme and the accompanying plans and workstreams in line with the Programme Mission Statement and Objectives defined in the Memorandum of Understanding.

#### **2. Terms of Reference**

##### *Strategic leadership*

- a) to be an advocate for the Programme within their respective organisations and externally
- b) to provide strategic leadership and oversight of the Programme
- c) to facilitate high level input and influence across national, county, sub-regional and regional forums and help promote the Programme's full potential
- d) to champion the Programme's proposals and lobby for capacity and infrastructure funding to address strategic issues
- e) to ensure there are appropriate resources in place to deliver against the plan, programme and priorities
- f) to endorse a co-ordinated position/response to consultations and policy announcements that impact on the effective delivery of the vision and principles

##### *Programme leadership*

- g) to set and steer the Programme's direction and to monitor progress and risk
- h) to resolve issues and enable progress to be made
- i) to approve the expenditure of agreed resources on the programme
- j) to review the Programme's objectives, progress and governance arrangements on an annual basis or as needed and make required changes as necessary
- k) to respect the confidentiality of sensitive or commercial information provided but with an awareness of the Programme commitment to openness and transparency as well as data subject to FOI requests
- l) to declare any conflicts of interest in relation to the Programme at each Board meeting

#### **3. Leadership and Composition of Board**

The Board will be led by a Chairperson or a nominee in his/her absence. The Chairperson's role will rotate between both senior Local Planning Authority representatives on an annual basis.

The board will comprise the following members:

Board Composition and Voting Rights:	
DBC Representatives	Voting members
SADC Representatives	
HCC Representatives	
LEP Representative	
Homes England	Non-voting member
Note: In addition officer and technical support will be involved at Board meetings to support the partners	

Decisions will be made by unanimous vote by voting members.

The board meetings will also be attended by the following in an advisory capacity only:

- One representative from Homes England
- The Hemel Garden Communities Programme Manager and other representatives from the team who will coordinate and administer meetings

Membership of the Programme Board will be reviewed annually.

#### 4. Board member responsibilities

The Board will follow the 'Nolan principles', the 7 principles of public life. The ethical standards that apply to anyone who holds a public-office<sup>2</sup>.

##### 1. *Selflessness*

Holders of public office should act solely in terms of the public interest.

##### 2. *Integrity*

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

##### 3. *Objectivity*

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

##### 4. *Accountability*

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

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<sup>2</sup> Committee on Standards in Public Life, (31 May 1995), Guidance: The 7 principles of public life, <https://www.gov.uk/government/publications/the-7-principles-of-public-life> (last accessed 26/11/2019)

### *5. Openness*

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

### *6. Honesty*

Holders of public office should be truthful.

### *7. Leadership*

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

## **5. Meetings and workshops**

- Meetings will be held on a quarterly basis, with a schedule agreed as far as possible in advance, or will otherwise be called as required by the Chairperson or Programme Manager.
- Agreed action points and decisions will be taken from each meeting and distributed to members by e-mail within two weeks.
- The quorum for meetings is set at a minimum of three voting Members.
- Board agendas, minutes and papers will be published five working days in advance of meetings.
- Relevant seminars and workshops will take place throughout the Hemel Garden Community delivery process, with the aim to support Board members with their role on the Programme.

## **6. Financial Governance**

- The Board will set an annual budget for delivery of the programme in accordance with the agreed action plan
- Operational budgets will be delegated up to agreed levels to the Steering Group and the appointed Programme Manager.

# **Hemel Garden Communities Stakeholder Steering Group**

## **Terms of Reference**

### **Officer, stakeholder and partner group to monitor and manage the Programme.**

#### **1. Purpose**

To monitor and manage the delivery of the Hemel Garden Communities Programme and the accompanying plans for its transformational effects on Hemel Hempstead.

#### **2. Terms of Reference**

##### *Strategic management*

- to champion the Programme's proposals and lobby for the required capacity and infrastructure funding to address strategic issues
- to co-ordinate high level input into county, sub-regional and regional forums and help promote the Programme's full potential
- to align Programme objectives with emerging Local Plans, policies and guidance
- to co-ordinate the public sectors contribution to the delivery of key elements of the programme and priorities

##### *Project management*

- to monitor and manage Programme progress and risks
- to monitor and manage expenditure of agreed resources for the programme
- to manage the preparation of funding bids
- to make recommendations to the Board and through formal decision-making processes associated with the authorities
- to ensure there is effective community and stakeholder engagement
- to provide a co-ordinated position/response to consultations and policy announcements that impact on the effective delivery of the vision and principles
- to respect the confidentiality of information provided but with an awareness of data subject to FOI requests

#### **3. Leadership and Composition of the Stakeholder Steering Group**

The Stakeholder Steering Group will be led by a Chairperson or a nominee in his/her absence. The Chairperson's role will rotate between both senior Local Authority representatives on an annual basis.

The Stakeholder Steering Group will comprise the following partner members:

- Dacorum Borough Council and HCC Chief Officers and St Albans City and District Council Senior Manager
- Senior Manager from Hertfordshire LEP

The stakeholder steering group meetings will also be attended by the following:

- One representative from Homes England
- Hertfordshire Innovation Quarter (IQ) representative
- The Crown Estate, and other landowners as appropriate
- The Hemel Garden Communities Programme Manager and other representatives from the team who will coordinate and administer meetings
- Membership of the Programme Board will be reviewed annually in the last quarterly meeting of the year.

#### **4. Meetings**

- Meetings will be held on a monthly basis, with timed agendas for stakeholders.
- A schedule will be agreed as far as possible in advance, or will otherwise be called as required by the Chairperson or Programme Manager.
- Agreed action points and decisions will be taken from each meeting and distributed to members by e-mail.
- The quorum for meetings is set at a minimum of three partner representatives.
- Agendas, minutes and papers will be published five working days in advance of meetings.
- Informal workshops, site visits and seminars can be arranged to help facilitate progress and develop understanding

#### **5. Financial Governance**

- The Board will set an annual budget for delivery of the programme in accordance with the agreed action plan
- Operational budgets will be delegated up to agreed levels to the Steering Group and the appointed Programme

#### **6. Stakeholder training**

Relevant seminars and workshops will take place throughout the Hemel Garden Community delivery process, with the aim to help each stakeholder understand the development as a whole as well as what their role is within the development. Stakeholders are allowed to ask for certain subjects within the training.

# Hemel Garden Communities Sub Group

## Terms of Reference

### Officer and stakeholder team to develop and co-ordinate Programme workstream areas.

#### 1. Purpose

To develop and co-ordinate workstream strategies and delivery ambitions on the Hemel Garden Communities Programme and the accompanying plans for its transformational effects on Hemel Hempstead.

#### 2. Terms of Reference

##### *Project management*

- to enable delivery against the plan, programme and priorities

##### *Workstream management*

- to develop appropriate strategies to enable effective Programme delivery
- to monitor workstream progress and risks
- to co-ordinate and deliver effective community and stakeholder engagement
- to co-ordinate stakeholder and public sector contributions to the delivery of key elements of the programme and priorities
- to prepare a co-ordinated position/response to consultations and policy to agree proposals and make the decisions needed to progress the Programme
- to report to the Project Team, Stakeholder Steering Group and Board as appropriate
- to prepare reports and make recommendations through formal decision-making processes associated with the authorities

#### 3. Composition

TBA

# **Hemel Garden Communities Programme Team**

## **Terms of Reference**

### **Officer team to deliver, manage and co-ordinate Programme workstreams.**

#### **1. Purpose**

To work with the Programme Manager to deliver, manage and coordinate the Hemel Garden Communities Programme and the accompanying plans for its transformational effects on Hemel Hempstead.

#### **2. Terms of Reference**

##### *Strategic management*

- to manage the overall delivery of the Programme through identified workstreams
- to identify strategic issues and deliver ensuing workstreams to support the Programme aims
- to ensure Programme objectives are aligned with emerging Local Plans policies and guidance and HIQ ambitions
- to champion the Programme's proposals

##### *Project management and delivery*

- to co-ordinate and manage the resources to enable delivery against the plan, programme and priorities
- to deliver Programme management reports and plans to effectively monitor the Programme, its progress and risks
- to co-ordinate and deliver effective community and stakeholder engagement
- to manage consultants preparing guidance and policies
- to co-ordinate stakeholder and public sector contributions to the delivery of key elements of the programme and priorities
- to prepare a co-ordinated position/response to consultations and policy to agree proposals and make the decisions needed to progress the Programme
- to report to the Stakeholder Steering Group and Board as appropriate
- to prepare reports and make recommendations through formal decision-making processes associated with the authorities

#### **3. Composition**

**TBA**

Cllr Andrew Williams  
Chair  
Hemel Garden Communities Board  
c/o Dacorum Borough Council  
The Forum  
Marlowes  
Hemel Hempstead  
HP1 1DN

8<sup>th</sup> January 2020

Dear Andrew

**Hemel Garden Communities Memorandum of Understanding**

I refer to the Memorandum of Understanding dated December 2019 between Dacorum Borough Council, St Albans City & District Council and Hertfordshire County Council regarding the Hemel Garden Communities programme.

Although Hertfordshire Local Enterprise Partnership is not a signatory to the Memorandum of Understanding, I am pleased to confirm that the LEP is a partner to the programme and is fully committed to the programme. Hemel Garden Communities marks a significant step in the growth and development of Hemel Hempstead in the 21<sup>st</sup> century. The programme will be transformational for Hemel and has the potential to make a major contribution to Hertfordshire as a whole.

We look forward very much to working closely with Dacorum Borough Council, St. Albans City & District Council, Hertfordshire County Council and other partners over the coming years to secure delivery of high quality, sustainable development to the benefit of local communities and businesses, now and in the future.

Yours sincerely



Neil Hayes  
**Chief Executive**  
Hertfordshire Local Enterprise Partnership



Hemel Garden Communities STRATEGY 05.12.19							
Policy and Guidance Documents	Key Document	Influencing Workstreams	Significance	Relevant Policies and Principles	Progress	Status if Emerging	
<b>Strategic Policies and Guidance</b>							
National Planning Policies and Guidance	National Planning Policy Framework	Delivery of Hemel Garden Communities Phase 1	<b>Principle of development</b>	Green Belt - Very Special Circumstances - dependent on status of	Adopted		
			<b>Timing of development / design in planning application</b>	Paragraphs 49, 50 - Prematurity; early delivery might prejudice future planning - Dependant on status of SADC Plan on submission of Phase 1 planning application	Adopted		
		Delivery of all phases of Hemel Garden Communities	<b>Planning applications</b>	Paragraphs 91, 92, 102, 109, 110, 127, 130 particularly applicable to Phase 1	Adopted		
	National Design Guide	Spatial Concept Masterplan for Hemel Garden Communities, Hemel Garden Communities New Development Strategic Masterplan Guidance SPD	<b>Strategic masterplanning</b>	All	Adopted		
		Delivery of all phases of Hemel Garden Communities	<b>Planning applications</b>	10 principles of well-designed places	Adopted		
		High Level Spatial Concept Masterplan for Hemel Garden Communities, Hemel Garden Communities New Development Strategic Masterplan Guidance SPD	<b>Strategic masterplanning</b>	10 principles of well-designed places	Adopted		
County Council Plans, Policies and Guidance	Hertfordshire County Council Local Transport Plan 4	A414 Mass Rapid Transit Strategy, Joint Sustainable Transport Strategy, Joint Multi Modal Transport Study	<b>Strategic masterplanning / transport strategy</b>	All policies relevant to transport modal share; South West Herts Growth and Transport Strategy. Hemel Hempstead identified as Sustainable Town and supports transport hierarchy of walking, cycling, public transport.	Adopted		
Joint Strategic Plan	South West Herts Joint Strategic Plan	Strategic Growth Location Study	<b>Principle of development / strategic masterplanning</b>	Not scoped yet	Emerging		
		Multi Modal Transport Study	<b>Principle of development / strategic masterplanning</b>	Not scoped yet	Emerging		
Local Policies and Guidance	St Albans Local Plan - Examination Jan 2019	Delivery of Hemel Garden Communities Phase 1	<b>Timing of development / design in planning application</b>	Policy S1, S2, S3, S4, S5,S6, L1, L2, L3, L7, L9, L12, L15, L17, L18, L19, L20, L21, L22, L23, L24, L25, L26, L28, L29, L30	Emerging Examination to commence January 2019		
		Hemel Garden Communities workstreams and outputs	<b>Strategic masterplanning</b>	Policy S1, S2, S3, S4, S5,S6, L1, L2, L3, L7, L9, L12, L15, L17, L18, L19, L20, L21, L22, L23, L24, L25, L26, L28, L29, L30	Emerging Examination to commence January 2020		
		Strategic Sites Design Guide SPD	<b>Planning applications</b>	Policy S1, S2, S3, S4, S5,S6, L1, L2, L3, L7, L9, L12, L15, L17, L18, L19, L20, L21, L22, L23, L24, L25, L26, L28, L29, L30	Emerging Examination to commence January 2021		
	Dacorum Local Plan; Core Strategy to 2036	Hemel Garden Communities workstreams and outputs	<b>Strategic masterplanning / delivery strategy</b>	Not scoped yet	May 2020 Public Consultation for Reg.19; Adoption 2021		
		Strategic Sites Design Guide SPD	<b>Planning applications</b>	Not scoped yet	Adoption 2021		
		Delivery of future phases of Hemel Garden Communities	<b>Planning applications</b>	All	SADC – Planning Policy Committee endorsement now targeted early 2020 (due to General Election). Adoption in due course once the Local Plan is adopted. Dacorum – Overview and Scrutiny February; Cabinet April; Public Consultation May – Jun 2020; Dacorum considering how the design principles can be applied to the Core Strategy document to strengthen quality of strategic sites.		
	Dacorum Design Guide SPD	Delivery of all phases of Hemel Garden Communities	<b>Planning applications</b>	Not scoped yet	To be commenced after 2021		
	Hemel Hempstead Sustainable Transport Strategy	Delivery of all phases of Hemel Garden Communities, Joint Strategic Plan Multi Modal Transport Study	<b>Strategic masterplanning</b>	Not fully scoped	Phase 1 in progress. To feed into Hemel Hempstead Transformational Plan SPD Summer 2020		
	<b>HGC Programme Policies and Guidance</b>						
	Hemel Garden Communities	Hemel Garden Communities Charter	Delivery of all phases of Hemel Garden Communities	<b>Planning applications</b>	Charter Principles for design quality and delivery.	Endorsed	
Hemel Garden Communities workstreams and outputs			<b>Strategic masterplanning / delivery strategy / governance</b>	Nine Charter Principles for design quality, engagement and delivery.	Endorsed		
Vision and Spatial Concept Workshop Report Oct 2019		Hemel Garden Communities workstreams and outputs	<b>Strategic masterplanning / delivery strategy</b>	Overarching spatial framework for growth	Draft circulated in early December		
Town and Country Planning Association Guidance	Hemel Hempstead Transformational Workshop Report Feb 2019	Hemel Garden Communities workstreams and outputs	<b>Strategic masterplanning / delivery strategy</b>	Recommendations for transport, green infrastructure, integration with existing neighbourhoods, and future-proofing.	Work complete		
	Town and Country Planning Association Garden Cities Principles	Design and masterplanning of Hemel Garden Communities, Stewardship Framework, Engagement Strategy	<b>Strategic masterplanning / delivery strategy / governance</b>	Taken forward in Hemel Garden Communities Charter.	Adopted and endorsed in emerging policies		
	Other Town and Country Planning Association guidance - existing and forthcoming	Dependent on scope of guidance	<b>Dependent on scope of guidance</b>	Dependent on scope of guidance	Adopted and endorsed in emerging policies		





Hemel Garden Communities DELIVERY TRACKER @ 04.12.19

Workstream	Deliverables	Sub-deliverables	Milestones (including those in bid)	Actions/Tasks	Progress, Issues and Risks (see Risk Register for greater detail)	Lead	RAG	RAG Key
KEY STUDIES AND OUTPUTS	Sustainable Transport Strategy	Phase 2: High level strategy to 2030. Includes priority work to inform the Sustainable Transport Strategy for Hemel Hempstead. Phase 2: Takes the high level strategy and provides relevant input to develop a plan to 2020 and progress for delivery with costings.	Final bids from Phase 1 by end of 2019.	Review project suits as being held with TfP.	PROGRESS: Work underway for deliver draft full report by mid-December. RSK: Study not delivered in time to influence Phase 1 application.	HCC		<b>RAG Key</b> Green - Item is underway or complete. The Partners have control. Amber - Course of action is planned. The Partners may have control or influence. Red - Course of action is yet to be agreed. The Partners may have control or influence.
	High Level Spatial Vision for Hemel Garden Communities	N/A	Intended to influence Hemel Garden Communities Phase 1 application expected May 2020.	Produce briefs and procure consultants.	PROGRESS: Authority meetings ongoing to scope initial briefs. RSK: Study not delivered in time to influence Phase 1 application.	Authorities - Hemel Garden Communities Officer Team		
	Hemel Garden Communities New Development Strategic Masterplan SPD	Socio-economic, environmental and spatial supporting studies (precise scope TBC)	Appoint consultants under same staged format as Sustainable Transport Strategy brief.	Produce briefs and procure consultants.	PROGRESS: Authority meetings ongoing to scope initial briefs.	Authorities - Hemel Garden Communities Officer Team		
	Hemel Hempstead Transformational Plan SPD	Socio-economic, environmental and spatial supporting studies (precise scope TBC)	Appoint consultants under same staged format as Sustainable Transport Strategy brief.	Produce briefs and procure consultants.	PROGRESS: Authority meetings ongoing to scope initial briefs.	Authorities - Hemel Garden Communities Officer Team		
	High Level Infrastructure Delivery Plan for Hemel Garden Communities	N/A	Intended to influence Hemel Garden Communities Phase 1 application expected May 2020.	Produce briefs and procure consultants.	PROGRESS: Authority meetings ongoing to scope initial briefs. RSK: Study not delivered in time to influence Phase 1 application.	Authorities - Hemel Garden Communities Officer Team		
	Infrastructure Delivery Plan	N/A	Appoint consultants under same staged format as Sustainable Transport Strategy brief.	Produce briefs and procure consultants.	PROGRESS: Authority meetings ongoing to scope initial briefs.	Authorities - Hemel Garden Communities Officer Team		
	Housing Delivery Strategy	N/A	Development Corporation/housing delivery strategy funding, with bid spring/summer 2020.	Scope and prepare bid starting March 2020.	RSK: Delivery subject to Development Corporation bid.	Authorities - Hemel Garden Communities Officer Team		
Stewardship Framework	N/A	Not yet determined.	Authorities to review TCE's Stewardship paper and provide comments.	PROGRESS: DCC visited South of Ashford to learn about stewardship approach. TCE has prepared Stewardship paper. RSK: Stewardship model not delivered in time with Phase 1 application.	Authorities - Hemel Garden Communities Officer Team			
LEGAL and S106 WORK	Hemel Garden Communities S106 approval and joint legal work	Number of pieces of work/Formal TIC	Not yet determined.	Authorities to agree approach.	RSK: If Hemel Garden Communities Infrastructure S106 requirements not approved before Phase 1 PPA agreed, TCE infrastructure contributions may not be reflective of the wider area requirements.	Authorities - Hemel Garden Communities Officer Team		
FINANCE	Budget	N/A	Scope and agree budget with authorities.	Meeting to agree approach	RSK: Budget not agreed	DCC and SADC Officers		
	Funding Strategy	Budget planning; Internal and external funding strategy	Agree programme and outputs subject to budget available; Hemel Garden Communities Team to scope out a strategy linked to potential funding bids	Partner and authorities to agree approach and take strategy to March 2020 Board	RSK: If the planning and strategy are not in place then opportunities for funding may be missed, with potential impact on the delivery of the programme	Authorities - Hemel Garden Communities Officer Team		
COMMUNICATIONS AND ENGAGEMENT	Design Review Panel	Review of Phase 1 outline application.	Phase 1 Design Review 10th Dec 2019	Authorities to provide key information to Design Review Panel by 3rd Dec	RSK: Panel members and report do not provide robust feedback required.	Authorities		
	Community Review Panel	Review of Phase 1 outline application.	Review Phase 1 outline application in early 2020.	DCC and SADC to agree approach to Phase 1 and Hemel Garden Communities going forward.	PROGRESS: DCC awaiting SADC feedback on preferred approach.	DCC and SADC Officers		
GOVERNANCE	Communications and Engagement Strategy	Finish strategy, consult with Hemel Garden Communities Stakeholder Steering Group and Board.	Final strategy, consult with Hemel Garden Communities Stakeholder Steering Group and Board.	Strategy being produced jointly by Authorities	PROGRESS: First draft strategy produced. Officers developing collaboratively. Meeting arranged for Dec 12th.	DCC		
	Hemel Garden Communities Officer Team	Recruit SADC Senior Project Lead Officer.	Recruit SADC Senior Project Lead Officer.	Recruiting through Public Practice	PROGRESS: Post recruited.	SADC		
	Hemel Programme Manager and DCC Lead Senior Officer	Recruit Programme Manager and DCC Lead Senior Officer.	Recruit Programme Manager and DCC Lead Senior Officer.	Advert to go out.	PROGRESS: interim Programme Manager appointed. RSK: Potential for recruitment to take a while and interim only in post until mid-Jan. Resource/capacity continues to be an issue until full dedicated team are in place.	DCC		
	Team budget.	Budget to be agreed to fund team and jobs.	Budget endorsement by Board and Authorities.	Budget endorsement by Board and Authorities.	RSK: Time period for this to be agreed.	DCC and SADC Officers		
	HCC Senior Strategic Transport Officer and Technical Assistant posts.	Agree budget for HCC Senior Strategic Transport Officer part funding and Technical Assistant.	Budget to be agreed and payments agreed.	Budget to be agreed and payments agreed.	RSK: Agreement subject to Board and Local Authority sign off. Resource/capacity continues to be an issue until full dedicated team are in place.	DCC and SADC Officers		
	Hemel Garden Communities Stakeholder Steering Group	Monthly meetings.	Format changed to a timed agenda to provide Authorities space to discuss high level matters.	Implement new agenda format in January.	PROGRESS: Agreed at November Stakeholder Steering Group and will change in Jan 2020.	Authorities - Hemel Garden Communities Officer Team		
	Hemel Garden Communities Board	Quarterly meetings.	Regular quarterly meetings.	Agree governance matters and priority workstreams	PROGRESS: Partners to agree at December Board. RSK/ISSUES: Chair and voting rights still to be agreed as part of the Board Terms of Reference. Interim chair required. Question of independent chair remains.	Authorities - Hemel Garden Communities Officer Team		
Memorandum of Understanding, High Level Governance Structure and Terms of Reference	Partner/Authority meetings.	Agree governance matters.	December Board to endorse and also to be agreed by LA formally.	PROGRESS: Documents drafted for endorsement at Board but require Local Authority sign off at Cabinet.	Authorities - Hemel Garden Communities Officer Team			

Risk No	Risk Description: "There is a risk that....."	Risk Consequence: "Which will result in....."	Risk Owner	Risk Status	Impact	Probability	Overall	Risk Status	Risk Trend	Mitigating Action	Impact	Probability		
<b>STRATEGIC</b>														
1	Withdrawal of Government support for the Garden Communities programme	Lack of support or guidance to address strategic issues. Limited funding for infrastructure could also result in inability to bring forward phases of development through granting planning permissions.	SADC/DBC/HCC/TCE	Open	3	2	6	Green	↓	Authorities and key partners to agree an approach to fund the gaps.	2	2		Green
2	Change in Government priorities in relation to encouraging strategic housing delivery, with change to national level supporting policy/legislation.	Significant impact on local/ national Government support for Hemel Garden Communities and the ability to attract additional capacity funding.	Stakeholder Steering Group	Open	2	2	4	Green	↓	Implementation of an active, tactical and on-going strategy of Government engagement; monitoring of legislation changes; continued close liaison with MHCLG and Homes England at ministerial and officer level.	1	2	2	Green
3	Strategy and budget for Hemel Garden Communities not agreed or in place to seize opportunities for further funding bids.	Insufficient resource to deliver the programme, or significant delays to delivery.	DBC/SADC/HCC	Open	4	3	12	RED	↔	Authorities and key partners to agree an approach to fund the gaps and manage delays.	3	2	6	Green
4	Potential political change/issues within the partnership that could lead to a withdrawal or variation in support to the proposal from one of the partners.	Depending on the timing, there could be a significant delay to the programme, which could impact on the deliverability and implementation of the preferred strategic growth options.	DBC/SADC	Open	4	3	12	RED	↔	Regular and effective Authority meetings together with Stakeholder Steering Group meetings supplemented by on-going communication and collaborative liaison across all partnership authorities through focused workstreams. Strong communication will assist with the confidence, assurance and clarity of direction required for the programme to be successful. To reduce the risk of this occurring, the identification of the key cross boundary agreements are needed to	3	2	6	Green
<b>PLANNING</b>														
5	One or more of the Local Plans are found unsound through inspection.	Could delay the programme significantly, in terms of adoption of strategic guidance, and delivery of infrastructure and early phases of Hemel Garden Communities.	SADC/DBC	Open	4	4	16	RED	↔	Regular liaison with Spatial Planning teams of each Local Authority.	3	2	6	Green
6	Joint Strategic Plan (JSP) fails at examination or there is significant slippage in the Planning Performance Agreement timescales that are beyond the tolerance of the programme.	Lack of external funding to support strategic infrastructure delivery.	Stakeholder Steering Group/DBC/SADC	Open	3	3	9	Amber	↓	Regular liaison with JSP team and Spatial Planning teams.	2	2	4	Green
7	Phase 1 proposals are not high quality enough to grant outline planning permission	Could delay the delivery of early phases of Hemel Garden Communities.	DBC/SADC/TCE	Open	4	3	12	RED	↓	Early and collaborative working between applicant and LPA officers. Preparation of Strategic Sites Design Guide SPD to set benchmark design quality, vision and concept masterplan for Hemel Garden Communities to set strategic context which Phase 1 needs to respond to, and use of Design Review Panel to provide feedback on designs.	2	1	2	Green
<b>POLITICAL / STAKEHOLDER</b>														
8	Stakeholder opposition to Hemel Garden Communities programme	Could delay the programme significantly, in terms of adoption of strategic guidance, and delivery of early phases of Hemel Garden Communities.	DBC/SADC/HCC	Open	3	2	6	Green	↓	Inclusion of a wide range of stakeholders in workshops, including preparatory engagement with key stakeholders, and preparation of Engagement Strategy.	2	1	2	Green
9	Public opposition to Hemel Garden Communities programme	Could delay the programme significantly, in terms of adoption of strategic guidance, and delivery of early phases of Hemel Garden Communities.	SADC/DBC/HCC	Open	3	1	3	Green	↓	Clear and targeted Engagement Strategy to be prepared early. Strategy to ensure ongoing briefings and opportunities to engage in proposal. Community pre-delivery improvement projects delivered.	1	1	1	Green
10	Political opposition to joint working	Could lead to delays in getting key documents signed off and project delays.	DBC/SADC	Open	2	1	2	Green	↓	Extensive and ongoing joint working at officer, portfolio holder and member level.	1	1	1	Green
11	Political opposition to Hemel Garden Communities programme	Could cause significant delays to the project.	DBC/SADC	Open	3	1	3	Green	↓	Early Council Member workshops on Hemel Garden Communities vision and guidance.	2	2	4	Green
<b>FINANCIAL</b>														
12	Insufficient/delayed Hemel Garden Communities Delivery Team recruitment/resource	Larger workloads for existing team which could lead to delays in delivery of key guidance and strategies for Hemel Garden Communities.	DBC/SADC	Open	3	3	9	Amber	↔	Councils recruiting for positions offering competitive salaries.	2	1	2	Green
13	Key enabling infrastructure costs exceed those anticipated and make scheme unviable	Leading to a delay in delivery.	DBC/SADC/HCC/TCE	Open	2	2	4	Green	↓	Contingency within viability appraisal. High level cost plan developed by TCE.	2	1	2	Green
14	Not enough Planning Performance Agreement resource to support Hemel Garden Communities proposals coming forward	Leading to a delay in delivery of early phases of Hemel Garden Communities.	TCE/SADC/DBC/HCC	Open	4	4	16	RED	↓	Councils to consider costs fully and provide feedback to TCE/developers. TCE to set a realistic budget for Authority involvement and expected programme approach with landowner - should include a list of meetings required before monthly Planning Performance Agreement meetings. Secure Planning Performance Agreement with sufficient ongoing funding.	2	1	2	Green
<b>QUALITY DELIVERY</b>														
15	Brief-writing and procurement timeframes for key studies too long to enable influence over Hemel Garden Communities early phase delivery/Phase 1 application	Planning application(s) which do not meet Hemel Garden Communities programme aspirations for high quality development	DBC/SADC/HCC	Open	4	4	16	RED	↔	Councils to consider during approach to brief and procurement.	3	3	9	Amber
16	Stewardship model not deployed/delivered on time with Phase 1 application	Failure to meet Hemel Garden Communities Charter aspirations	DBC/SADC	Open	3	2	6	Green	↔	Councils to liaise with TCE regarding stewardship and set timeframes	3	1	3	Green
17	Delays to provision of key infrastructure	Could delay programme and lead to programme milestones being missed or delayed.	DBC/SADC/HCC/TCE	Open	3	3	9	Amber	↓	Ongoing viability appraisal to identify potential funding gaps. Identification of additional sources of funding.	2	1	2	Green
18	Hemel Garden Communities Infrastructure/s106 not appraised before Phase 1 application agreed	Inadequate infrastructure contributions for the wider Hemel Garden Communities area	DBC/SADC/HCC	Open	4	4	16	RED	↔	Councils to consider during approach to brief and procurement.	3	3	9	Amber
19	Insufficient skills to deliver the programme	Could delay programme and lead to programme milestones being missed or delayed.	DBC/SADC/Stakeholder Steering Group	Open	4	4	16	RED	↓	Consider additional funding to meet skills gap.	3	2	6	Green
20	Design Review Panel does not reinforce Partners and interested parties concerns with Phase 1 masterplan	Impedes Authorities' ability to influence high quality development of Phase 1	DBC/SADC	Open	4	1	4	Green	↔	Councils working collaboratively to brief the DRP in preparation for the review.	4	1	4	Green
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**Explanatory Key**

A risk is something that **could** happen in the future and have an impact on the completion or outcome of the Programme.

All programmes have an element of risk; all new risks will be recorded as soon as they are identified and all risks will be updated when a change (positive or negative) occurs. This is to ensure that the programme can demonstrate how it will deal with potential problems or varying sever a controlled manner.

Risk is calculated according to the probability (P) of it happening and the impact (I) of this occurrence, based on a scale of 1 (very low) and 5 (very high) for each element of the calculation. A RAG rating is then assigned to the total score (i.e. the outcome, which is calculated by multiply the probability score and the impact score:  $P \times I = O$ ).

**Definition of Scores**

	1 (Very Low)	2 (Low)	3 (Medium)	4 (High)	5 (Very High)
<b>Probability</b>	Unlikely 0-10%	Low 11-30%	Possible 31-50%	Probable 51-80%	Definite 81-100%
<b>Impact</b>	Minimal (no interruption to programme delivery)	Minor (temporary interruption to programme delivery)	Significant (lasting interruption to programme delivery)	Severe (complete interruption to programme delivery)	Catastrophic (programme will fail unless risk urgently mitigated/resolved)

RAG Status	Score	Definition	Action
<b>Green (Low)</b>	1-5	The programme is meeting expectations.	No action required.
<b>Amber (Medium)</b>	6-15	The programme is not meeting expectations. There are mitigating circumstances in most cases and improvement is likely but risks need to be flagged to the programme team.	SSG should be notified at the earliest opportunity; mitigation action will be explored at the appropriate governance level and implemented, as appropriate.
<b>Red (High)</b>	16-25	There are significant problems with the programme and it is not meeting expectations to date. Corrective action is required to meet business objectives. The problem cannot be handled solely by the programme	The matter should be escalated to SSG immediately for consideration/resolution at the appropriate governance level.

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<b>Report for:</b>	<b>Strategic Planning and Environment Overview and Scrutiny Committee</b>
<b>Date of meeting:</b>	<b>28 January 2020</b>
<b>Part:</b>	<b>1</b>
If Part II, reason:	

<b>Title of report:</b>	<b>Events Policy</b>
<b>Contact:</b>	Julie Banks, Portfolio Holder for Community and Regulatory Services  Author/Responsible Officer  Russell Ham, Team Leader, Corporate Health, Safety and Resilience Emma Walker, Group Manager, Environmental and Community Protection Bill Buckley, Interim Assistant Director, Neighbourhood Delivery
<b>Purpose of report:</b>	To provide Members with an overview of the Corporate Event Policy and CDM and Management of Contractors policy that will be put in place for staff and managers to follow.  To gain the formal approval of Overview and Scrutiny.
<b>Recommendations</b>	That Overview and Scrutiny consider and formally approve the policies.
<b>Corporate objectives:</b>	To comply with current H&S legislation and Implement Best Practice.
<b>Implications:</b>	<u>Financial</u> None.
<b>'Value for money' implications</b>	<u>Value for money</u> Complying with the Health and Safety at Work etc. Act 1974 and relevant regulations supports the Council in compliance and providing safe planned and managed events for its citizens.

Risk implications	None.
Equality Impact Assessment	Equality Impact Assessment is not required as the policies follow H&S legislation.
Health and safety Implications	None.
Consultees:	Relevant managers and staff involved in managing events and or contractors have been consulted. The Event policy was also consulted with attendees of the June 2019 Health Safety and Resilience Committee, and the CDM and management of Contractors in the September 2019 Health Safety and Resilience Committee. Following both Committees the Policies have been approved by CMT.
Background papers:	1. CDM and management of Contractor Policy 2. Event Policy
Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i>	Highlight within Health and Safety Committee for an Event and Contractor Policy to provide Corporate direction and guidance for managers and staff.  Policy drafted by Rosherville Safety Solutions (consultant).  Both policies further consulted with staff and formally approved through the Health, Safety and Resilience Committee and Corporate Management Team.
Glossary of acronyms and any other abbreviations used in this report:	CDM – Construction Design Management

## 1. Background

- 1.1 Dacorum Borough Council uses Safety Policies to guide and instruct DBC staff on how to comply with Health and Safety Legislation.
- 1.2 The Corporate Health, Safety and Resilience Team have provided a range of Policy documents.

## 2. Event Policy

- 2.1 This is an internal policy that sets out the key principles by which DBC staff will approach the application and processing events, and the required risk management.
- 2.2 The purpose of this policy is to outline the procedures for arranging or managing/processing events, so that they comply with relevant legislation, industry codes and best practice. It will ensure that organisers have clear expectations for events held in Dacorum. As an employer, the event organiser - whether an individual, collective or local authority - has a general duty to ensure,

so far as reasonably practicable, the health, safety and welfare of their employees. They also have a duty to ensure, so far as is reasonably practicable, that others - including volunteers and spectators - are not exposed to risks to their health and safety arising from the operation of the event.

- 2.3 The information within this policy supports the Corporate Health and Safety Policy and aligns the management of risk to operational managers. This policy sets out the importance of planning events, together with specific roles and responsibilities. It is noted that there is a significant amount of effort and time resources on many areas of the Council involved in facilitating events. A planned, well managed event brings many positive benefits to the borough and communities.
- 2.4 Dacorum Borough Council (DBC) recognises the importance of supporting the contribution such events make to DBC's cultural landscape and the economy, whilst minimising the potential impact of temporary events on the community.
- 2.5 Dacorum Borough Council is committed to enabling events within the borough and recognises that a diverse programme of varied and well-managed activities contributes to the promotion of a vibrant multi-cultural community.

### **3. CDM and management of Contractor Policy**

- 3.1 Health and safety management systems must be in place to ensure the selection and monitoring of contractors is achieved. This Construction, Design and Management of Contractors policy is supported by the 'Contractor Site Health & Safety Induction Pack' and Corporate Health & Safety Policy.
- 3.2 All of which have been approved by the Corporate Health and Safety Committee to define the Council's policy for ensuring that all work involving contractors is safely managed by competent persons. The Council recognise the risk of poor management of contractors, including contractor selection and control, and are ultimately responsible for ensuring compliance with health and safety law.
- 3.3 Construction and demolition activities carry significant risks and can be undertaken safely only by persons with appropriate knowledge, training and experience. It is The Council's policy that such work must be managed by suitably qualified and competent professionals.
- 3.4 The Council will have specific duty holder roles and responsibilities that fall under the CDM regulations.



# Policy

## Event Management

Author	Corporate Health, Safety & Resilience		
Version no.	1	Date of publication	TBC
		Review date	TBC
Updates: N/A			
Associated documents: Reporting of Accidents, Injuries, Diseases and Dangerous Occurrences Procedure			

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## **PART ONE INTRODUCTION**

### **1.0 Definition of Event**

#### An event

An event that is planned for a defined period of time, in a specific location, that allows the members of public to attend. Either indoors or outdoors, on private or public property. The Event can be expected to cause a public gathering that is not part of the normal course of business at that location and time.

### **1.1 Introduction and Purpose**

Dacorum Borough Council (DBC) recognises the importance of supporting the contribution such events make to DBC's cultural landscape and the economy, whilst minimising the potential impact of temporary events on the community.

Dacorum Borough Council is committed to enabling events within the borough and recognises that a diverse programme of varied and well-managed activities contributes to the promotion of a vibrant multi-cultural community. This policy sets out the key principles by which DBC approaches the application and processing of both internal and externally run events, and the required risk management.

The information within this policy supports the Corporate Health and Safety Policy and aligns the management of risk to operational managers. This policy applies to all public events held in the borough that meet the definitions in section 1.2 below. It sets out the importance of planning events, together with specific roles and responsibilities. It is noted that there is a significant amount of effort and time resources on many areas of the Council involved in facilitating events. A planned, well managed event brings many positive benefits to the borough and communities.

The purpose of this policy is to outline the procedures for external event organisers and Council officers involved in either arranging or managing/processing events, so that they comply with relevant legislation, industry codes and best practice. It will ensure that organisers, both internal and external, have clear expectations for events held in Dacorum. As an employer, the event organiser - whether an individual, collective or local authority - has a general duty to ensure, so far as reasonably practicable, the health, safety and welfare of their employees. They also have a duty to

ensure, so far as is reasonably practicable, that others - including volunteers and spectators - are not exposed to risks to their health and safety arising from the operation of the event.

## 1.2 Type of Event

### Commercial

Commercial events are those that are intended to make a profit, including product launches, corporate events, and other marketing and promotional activities. This also includes fairgrounds, circuses, and ticketed festivals.

### Community

These are events organised by local not-for-profit, community or voluntary groups that directly benefit the residents of the Borough and do not provide significant advertising or other commercial benefit to a profit-making business or organisation.

### Charity

Events organised by registered charities and are predominantly fund-raising or awareness-raising events for the benefit of the charity. A registered charity number should be provided.

### Organised fitness

These are sporting or physical activity events organised with or without a charge to those attending the activity. Organised fitness events will also fall into one of the other event types described.

## 1.3 Scope

This policy applies to all events held in the Borough within DBC owned or managed public buildings/land, including any group, organisation or person wanting to hold an event on Council land. This includes DBC internally organised and managed events, as well as externally managed events.

This Policy does not apply to:

- Unpublicised informal social or family gatherings in outdoor venues where no equipment is involved (standard park rules apply)
- Outdoor Markets
- Seasonal use of sports fields by schools and registered sporting clubs
- Public rallies and demonstrations

- Commercial fitness training
- Filming
- Community Centres (non-council activities unless they fall under the process of the SAG)

The Council may cancel or modify events at any stage in its development including, but not limited to:

- Extreme weather
- Identified high risks
- Site safety or conditions
- On the advice of emergency services

#### **1.4 Objectives**

The objectives of this policy are to:

- Clarify the expectations and classification of events in Dacorum
- **Provide a framework for the event application process, for both internal and external events**
- Provide controls that minimise adverse impacts of events on the non-event community and environment
- Ensure effective planning and management of events
- Promote the licensing objectives
- Provide a consistent and co-ordinated approach to how events are supported and facilitated by the Council
- Ensure that pre-event consultation and planning takes place with event organisers and stakeholders where necessary
- Maximise the safety of event attendees and the event workforce and ensure that safety is placed as a priority in decision making
- Minimise disruption to residents and businesses
- Ensure that events are accessible to all
- Develop an events programme and encourage local and national groups to organise or participate in new and existing events
- Promote the management of the health and safety of persons attending the events
- Promote compliance with relevant legislative requirements and standards

#### **1.5 Benefits**

A well-managed and appropriate events policy brings positive benefits to the borough, including:

- Providing residents with an interesting, fun, and diverse range of things to do
- Enhancing DBC's cultural offering and reputation as diverse and thriving borough
- Enhancing the image of the borough
- Helping to promote the area as a place of business, culture and community
- Playing a key part in DBC's vision by drawing visitors to the borough
- Increasing the number of events run within the borough
- Developing a strong community by increasing and improving cross-community relations

## **PART TWO: PROCESSING AN EVENT**

### **2A External events**

All events held on DBC public land or in buildings owned or managed by the Council require permission/notification and/or approval from DBC. Anyone looking to organise an event or carry out commercial activities on Council-owned land will need to seek permission in advance by contacting: [es-estates@dacorum.gov.uk](mailto:es-estates@dacorum.gov.uk). For events in the Town Centre contact [business@doacorum.gov.uk](mailto:business@doacorum.gov.uk)

Online applications for externally arranged events will be processed via the Dacorum Safety Advisory Group (DSAG), with details entered onto the DBC Event notification form available on the following link:

<http://www.dacorum.gov.uk/home/environment-street-care/licensing/event-safety>.

This form should be used to give initial notification of a proposed event within the Dacorum area. It should be completed by the **event organiser**, in as much detail as possible, and as far as reasonably practicable submitted no later than:

- 6 weeks prior to the event for small events (fewer than 500 people attending)
- 12 weeks prior to the event for larger events (500 or more people attending)
- Note – applications submitted late will not be considered

The completed form and any attachments will be circulated to members of the Dacorum Safety Advisory Group (DSAG) as means of notification of a proposed event, and to allow advice to be given. Organisers may be invited to address a meeting of the group or meet with officers of the Council to discuss specific elements of the event.

It must be noted that submission of this form will not relieve organisers of any legal obligations to obtain consents, licences, registrations or traffic orders as may be required.

Event organisers should have prepared (or be working on) a number of documents in respect of their event, and copies of these should be submitted with the notification form, or shortly afterwards. Many of these documents will continue to change right up to the day of the event, but providing DSAG with current drafts will mean advice can be offered.

The following information is requested with the initial notification:

- A **site plan** showing how the event site will be laid out
- An **event management plan**, setting out how and when the site will be set up and operated, the chain of operational command and responsibility during the event (with contact details), a full list of the activities being undertaken as part of or in connection with the event, and any other relevant information
- An **event safety plan**, setting out what additional measures have been taken in respect of security, safety, first aid, and any emergency procedures
- A general **safety risk assessment** and a **fire safety risk assessment** for the overall event (the latter is a legal requirement under the *Regulatory Reform (Fire Safety) Order 2005*)
- Evidence of a **public liability insurance** policy for the overall event.
- A copy of any **licences** obtained (where required for the event)

The information given on the form will be circulated to members of the group. Members can then provide information independently, or, if there are a number of specific points for discussion, the event organiser may be invited to a meeting. The DSAG is managed by the Corporate Health, Safety and Resilience Team, with the notification forms being processed by this team.

For larger scale events, organisers must attend a Dacorum Safety Advisory Group meeting to help ensure all the correct measures are in place. There is a minimum of three months' notice to ensure there is time for the application to be processed.

Key documents to assist and review the considered risk management of events include risk assessments and public liability insurance for **ALL** activities and equipment providers.

## **2B Internal events**

Any staff/service areas that arrange events are required to manage and monitor risk management of the event. All events categorised as internal (DBC arranged), which are normally community/corporate events, will need processing by the Corporate Health, Safety and Resilience Team. Each event organiser will be required to submit the **internal notification form** (appendix 1) to SafetyAdvisoryGroup@dacorum.gov.uk, and as far as reasonably practicable submitted no later than;

- 6 weeks prior to the event for small events (fewer than 500 people attending)
- 12 weeks prior to the event for larger events (500 or more people attending)
- **Note** – applications submitted late will not be considered

The following information should be completed/reviewed by the **event organiser**:

- The **internal event management plan**, setting out how and when the site will be set up and operated, the chain of operational command and responsibility during the event (with contact details), a full list of the activities being undertaken as part of or in connection with the event, and any other relevant information. This includes the **event safety plan**, setting out what additional measures and plans have been taken in respect of security, safety, first aid, and any emergency procedures
- A **health and safety risk assessment** and a **fire safety risk assessment** for the overall event (see appendix for event risk assessment guidance)
- Confirmation and evidence that the Council's **public liability insurance** policy covers the overall event.
- Assurance of **provider risk assessment**, competence, insurance and emergency procedures

It is the responsibility of the organising operational staff who are managing the event to ensure that they have assurance that;

- The internal event management plan is completed and assessed
- All providers are checked and competent
- All providers insurance is up to date, including the time covering the event dates
- Checking that all **Amusement Device Inspection Procedures Scheme** (ADIPs) and **Pertexa Inflatable Play Accreditation** (PIPAs) are in place for each piece of named ride/equipment

- Any structures, platforms or building works are considered under *Construction (Design and Management) Regulations 2015* (CDM)
- All risk assessments are in place for the event, and from each provider, checked to ensure they are in date, suitable and sufficient for the activity/event
- Emergency planning and preparedness is required as part of the internal review/assurance requirements
- Any required licences and/or permissions are in place

**Once all of the above checks** have been completed, the operational service organiser should finalise the **internal event management plan** as this may be requested or forwarded to the Corporate Health, Safety and Resilience Team for corporate/community events.

## **PART THREE: ROLES AND RESPONSIBILITIES**

### **3.0 Clear lines of responsibility**

The complex nature of event management means it is crucial that everyone involved clearly understands their wider legal duties as well as those under Health and Safety Legislation. The person responsible for health and safety should be detailed in the event management plan, or contract.

The control of the venue may be shared between a number of services and/or people. If this is the case, the respective responsibilities should be clearly defined and assigned. Organisations and individuals who have any control of the premises or work should consider what measures they need to take to ensure the venue is safe, and detailed within the event management plan.

There should be effective liaison arrangements between all parties on health and safety matters and sharing of safety-related information, e.g. the location of buried services, CDM construction phase plan, risk assessments, and detailed within the event safety plan.

### **3.1 Dacorum Safety Advisory Group (DSAG)**

The remit of the Dacorum Safety Advisory Group (DSAG) is to advise on whether or not an event should proceed on safety (and not any other) grounds. The SAG normally reviews externally run events via an online 'safety advisory group event notification form.' Event organisers must seek the

advice of the SAG if they wish to hold an Event on DBC land. Ideally, notification should be made months before the event takes place.

The consent of the Council or 'landlord' may be withdrawn upon advice of the DSAG. There are many aspects to ensuring that an event is safe and successful, all of which event organisers will need to consider during the planning of their event.

The DSAG does not "sign off" event proposals, nor will the group or member agencies accept any liability for issues arising from an event. The event organiser is legally responsible for the safety of the people attending. The DSAG are also unable to assist in the preparation of event safety documentation, risk assessments, or similar. Notifying the safety advisory group of an event does not replace any other legal requirements, such as obtaining permission to make use of private or Council-run land, licences, traffic orders, planning permission or food hygiene registrations. However, in some cases, having notified the group may simplify these processes.

The DSAG will also co-ordinate any safety debrief meetings that take place post-event. A debrief is required by Dacorum Borough Council for all large and major events. A debrief will also take place for small and medium events if there have been any safety concerns noted by the Council or any of the partners. Safety concerns must be notified to the Chair of the DSAG in writing/email to trigger a debrief for small events.

Any issues will be discussed with the event organisers. It is recognised that cancellation of an event is a last resort, but in cases where there is increased risk to public safety if the event proceeds, this recommendation will be passed to the event manager, or to Director level, as appropriate.

### **3.2 Event Organiser**

The overall responsibility for the planning and management of the event / activity is retained with the event organiser / organising team. This includes (but is not limited to):

- Production of the relevant documentation e.g. risk assessment / site plan
- Requesting and checking any third-party documentation e.g. risk assessment, insurance etc.
- Requesting and checking any documentation from other DBC service areas contributing to the event
- Notification to the Corporate Health, Safety and Resilience Team (CHS)

### **3.3 Corporate Health and Safety**

When notified via the internal notification form (appendix 1), the CHS team may request to see a selection of supporting documentation. For all events, and as far as reasonably practicable CHS require notification no later than;

- 6 weeks prior to the event for small events (fewer than 500 people attending)
- 12 weeks prior to the event for larger events (500 or more people attending)
- Note – applications submitted late will not be considered

The Corporate Health, Safety and Resilience Team will review events that are either run by the Council, and/or include fairground rides that are part of the event/s. They do not authorise, approve or 'sign off' events, that is the responsibility of the Event Organiser.

Ultimately, the Corporate Health, Safety and Resilience Team forms part of the health and safety management system. They may request further information, give advice based on the information provided, or in some instances conduct a site visit or meeting.

### **3.4 Environmental Health - within Environmental & Community Protection Department (ECP)**

When notified of internal events, the Environmental Health Team may request to see a selection of the documentation (audit) based on the supplied notification form.

For all events, the Corporate Health, Safety and Resilience Team have responsibility for co-ordinating DSAG. The Environmental Health Team review events that are not Council run, but commercial. They do not authorise or approve, or 'sign off' events, that is the responsibility of the Event Organiser.

### **3.5 Team Leaders**

Will ensure any staff that organise events on behalf of DBC have the appropriate competence and implement systems of checks and balances to ensure thorough planning and appropriate health and safety management is achieved for each event.

If you or your staff are responsible for booking 3<sup>rd</sup> party events you should ensure the responsibilities of the Event Organiser are fulfilled, as set out in 3.7 of the this policy, and through the submission of a complete set of documents as detailed in the SAG notification form.

### **3.6 Group Managers**

Must be notified by their Team Leaders of all events and be confident that the planning and arrangements of all events are suitable and sufficient.

You should ensure that if your team leaders manage the booking of 3<sup>rd</sup> party events the responsibilities of the Event Organiser are fulfilled as set out in 3.7 of this policy, and through the submission of a complete set of documents as detailed in the SAG notification form.

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### **3.7 Role of the event organiser and their obligations**

- Events should be organised as far in advance as possible - generally an event with more than 1,000 people attending can take six months or more to organise and secure all of the required resources and processing.
- Event Organisers, external or internal to the Council, are responsible for managing and ensuring that the risk management and compliance of their event is met and have all their management processes in place.
- Provide complete and accurate event documentation within the required timeframes and respond promptly to any queries raised by the Council or member of the Dacorum SAG.
- Ensure that any information given on behalf of the organisation they represent is accurate and that they have the legal authority to enter agreements on behalf of that organisation or have the delegated legal authority.
- Ensure appropriate insurance and liability cover is in place.
- Permissions, licences and safety documentation must be sought well in advance.
- The event organiser should ensure the event is run according to the submitted plans.

## **PART FOUR: PLANNING YOUR EVENT**

### **4.0 Safety**

Responsibility for safety rests with the event organiser, whether this is a Council-run event or externally run event. Event organisers and their partners have a duty to ensure all relevant health and safety guidance is followed, including the preparation of full risk assessments and method statements.

The first-priority of all involved in managing events must be human safety. Every event should have a designated safety officer, and/or a system of competent management that includes person/s with event specific management and knowledge to review and advise on all safety related matters

### **Managing Health and Safety**

Events and activities must be planned and managed in a proportionate and sensible way. One approach is to apply the *Plan – Do – Check – Act* (PDCA) cycle; this is consistent with Health and Safety Executive (HSE) methodology. This is also consistent with international safety management systems, including ISO 45001/2/3 2018. The PDCA cycle is one that supports on-going

improvement. By choosing to follow this approach the event organisers and DBC are demonstrating their commitment to industry best practice.

In simple terms, plan what you are going to do; identify potential risks and implement your plan; check that it works or determine if more needs to be done and finally review, take action as needed to improve or change.

**Table 1** (below) provides an overview of the PDCA cycle as it relates to event / activity planning. One of the main control measures for any event is the preparation and planning, and this requires one vital element: **time**. A poorly planned, rushed event would be considered high-risk compared to a well-planned, well prepared, risk-based event, and shouldn't be allowed to proceed.

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**Table 1** relates the PDCA cycle to the management of an event:

<b>Plan</b>	<p><b><i>Event Planning</i></b></p> <ul style="list-style-type: none"> <li>▪ When is the event; where will it be held; what is its purpose and who is it aimed at?</li> <li>▪ Who is responsible for managing the event and how will you achieve your event aims? For larger events where there are multiple providers / activities, it may be useful to have a ‘<i>Safety Review Group</i>’ to help scope, develop and manage the event</li> <li>▪ How will you manage fire and other emergency situations e.g. specific ride safety; lost child procedures?</li> <li>▪ Are you going to engage external providers? How will they be selected?</li> <li>▪ Will there be support from other DBC internal service areas such as Corporate Health and Safety?</li> <li>▪ Have you left enough time to notify CHS or Environmental Health with EC&amp;P (Environmental &amp; Community Protection)/Licensing/Completion of notification form etc?</li> </ul>
<b>Do</b>	<p><b><i>Identify your risk profile</i></b></p> <ul style="list-style-type: none"> <li>▪ Identify risks associated with your event</li> <li>▪ Complete risk assessments</li> <li>▪ Collate information from external or internal providers e.g. risk assessments, method statements etc.</li> </ul> <p><b><i>Organise your activities to deliver your event plan</i></b></p> <ul style="list-style-type: none"> <li>▪ Communicate your event ensuring that everyone is clear about their role and what is needed e.g. is there a lead liaison person with external providers?</li> <li>▪ Ensure you have adequate resources to implement your plan including competent advice where needed</li> </ul> <p><b><i>Implement your plan</i></b></p> <ul style="list-style-type: none"> <li>▪ Decide on the control measures and put them in place</li> </ul>
<b>Check</b>	<p><b><i>Measure your performance</i></b></p> <ul style="list-style-type: none"> <li>▪ Make sure your plan is being implemented. For example, have you received all the necessary documentation from external and internal providers; has it been reviewed? Note, documentation on its own is not necessarily a good performance measure.</li> <li>▪ Assess whether your identified risks are being adequately controlled. For example, are fairground rides being managed; activity numbers are not exceeded; fire and emergency exit routes being maintained etc.</li> </ul>

	<b><i>Investigate any concerns, incidents or near misses, poor crowd control, lack of welfare facilities (examples)</i></b>
<b>Act</b>	<p><b><i>Review your performance</i></b></p> <ul style="list-style-type: none"> <li>▪ Learn from your event experience, both positives and negatives</li> <li>▪ Give a team and consultation debriefing if necessary</li> <li>▪ Review any accident or incident that occurred; notify CHS using relevant forms</li> <li>▪ Revisit plans, documentation and risk assessments to see if they need updating</li> </ul> <p><b><i>Take action on lessons learned</i></b></p>

**4.1 Submitting an event proposal**

**4.1a Submitting an internal event proposal**

The DBC event management advice is to bring together not just the externally managed events, but also the many internally managed events that occur directorate and service wide. The responsibility of managing events is for each event organiser within the Council and their Group Manager to ensure the planning, safety and management of each event is in place. To further improve this, complete an ‘**internal notification form**’ (**appendix 1**) which will promote and improve the co-ordination and communication with various competent Council services to ensure another layer of risk management is implemented.

**4.1b Submitting an external event proposal**

The externally managed event proposals are processed via the Dacorum Safety Advisory Group (DSAG) with the relevant details within the notification procedures found on the DBC website pages.

Consultation on medium and large events will involve members of DBC’s Safety Advisory Group and may involve stakeholders including Councillors, Members, and other local Groups depending on the impact the event is likely to have.

**4.2 Location**

Is the event taking place within a park, on a highway, or in a building?

- What is the purpose of the event (For example is it a family fun day, a sports community event, a concert, a public health awareness or a political demonstration?)

- What structures and activities will be included (For example is there a mobile climbing wall, funfair rides, a large stage or tent, an inflatable, or a fireworks display?)

All of which consider detailed risk management, and should be detailed on any notification form and also an Event Management Plan.

### **4.3 Audience**

Who is expected to attend the event? For example, is this predominantly a family event, or would the activities attract large groups of teenagers or young adults? Is it for local people or will there be transport issues resulting from people travelling some distance to attend?

For medium to larger attended events consultation may involve planning meetings taking place with the necessary departments within the Council and external agencies to ensure all affected groups are aware of and prepared for the event.

This will be partly dependent on the size of the event being planned. Small events will not be subject to full consultation as they will have virtually no impact on the venue or the surrounding area. If a small event does require consultation this will generally only occur on the first occasion unless there are concerns raised once it has taken place.

### **4.4 Risk Management**

Risk Management is an important obligation which Dacorum Borough Council takes very seriously and pro-actively manages. In the delivery of Events, DBC is aware that there may be risks to employees, the Community and property in relation to events.

In the process of planning these events all event managers are encouraged to consider applicable perceived risks and, if necessary, communicate these to the relevant manager, competent advisor, or advisory body, prior to the commencement of the event. This may include Dacorum Safety Advisory Group, Environmental Health with EC&P (Environmental & Community Protection), or Corporate health, Safety and Resilience. This guidance expands on each of the named service/group roles concerning event planning and management.

It is good practice for any event to adopt a risk assessment approach to safety management, and this should be incorporated into an operational event assessment. There is a requirement for every employer (including event organisers) involved in events to carry out a 'suitable and sufficient'

assessment of the risks to the health and safety of employees and others, including the audience. The assessment should be completed by a competent person and shared with relevant parties. A competent person will have the skills, knowledge and experience necessary to be able to identify all significant hazards, and put in place suitable and sufficient control measures. The HSE provide guidance on the definition of competence: <http://www.hse.gov.uk/competence/what-is-competence.htm>

**KEY MESSAGES; (based on the purple event guidance)**

- Effective planning is central to putting on a safe event
- Requirements to Prepare an event safety plan and share with relevant persons
- Have appropriate management arrangements in place to ensure the health and safety of employees and others, including volunteers and the public, during all stages of the event
- Carry out a systematic assessment of the risks to employees, volunteers and the public
- Implement risk control measures identified by the risk assessment and identify the person(s) responsible for carrying them out
- Put appropriate arrangements in place to monitor health and safety compliance
- Provide or seek out competent health and safety advice
- Liaise with other interested parties
- Thorough investigation of the site to be used

Good planning and organisation are key to putting on an event that is both safe and enjoyable. The need to plan and organise for effective safety management is a legal requirement and, in all instances, the degree of sophistication and detail needs to be proportionate to the scale of the undertaking and the level of risk. Effective planning includes the safe management of activities through identifying then eliminating the risk. Where this is not practicable, the aim should be to reduce, isolate or control hazards and risks. The amount of time that needs to be set aside for planning will be very much dependent upon the size, type and duration of the event. For large events, experience shows that a year beforehand is not too early to start.

#### **4.5 Know your event**

The first step is to know and understand the event. Knowing the event means having a detailed understanding on a range of factors, each of which should influence how the event is planned and how you need to allocate your time and resources. Some of the main considerations are shown in

**Table 2.** It is important that these factors are considered from the early planning stages of the event.

**Table 2:** Key things to consider when planning an event

Key things to consider: <i>Based on the Event Purple Guide</i>	
The location (venue/site)	<ul style="list-style-type: none"> <li>The choice of location will determine what specific hazards are likely to be present and inform decision-making about risk management on a range of issues</li> </ul>
Event activities	<ul style="list-style-type: none"> <li>The type of event activities will determine the health and safety risks involved</li> </ul>
Audience profile	<ul style="list-style-type: none"> <li>The activity will determine the type of people who come and their expectation of the event. Establishing an audience profile will lead to predictions regarding anticipated behaviour and indicate where particular risks may arise</li> <li>The audience profile will inform decisions on various issues, including the type of construction required, welfare facilities and stewarding</li> </ul>
Crowd numbers	<ul style="list-style-type: none"> <li>The number of people expected to attend will affect the resources and facilities required, from basics such as toilets and parking, through to determining whether special arrangements are needed for medical services and waste management</li> </ul>
Length and timing of event	<ul style="list-style-type: none"> <li>Consider how long the event will last, plus the time of day and time of year</li> </ul>
Access	<ul style="list-style-type: none"> <li>Access to and around the site will require careful planning to reduce the likelihood of overcrowding and any potential risk of crushing. You will also need to plan how people arrive and leave your event in terms of transportation</li> </ul>
Infrastructure	<ul style="list-style-type: none"> <li>The type and scale of the event will determine what resources are needed to allow safe enjoyment, e.g. availability of a safe electrical supply. Planning for this will be required at the outset</li> </ul>

Many of the smaller events organised via different Council service areas may have staff with the basic knowledge to manage, but some issues may require technical knowledge outside their experience. In such cases, they need a source of competent advice, whether in-house or external. It is very important to be aware of your own limitations, and not put yourself or DBC and others at risk due to lack of experience or knowledge in running and managing events.

For medium to larger events, or the higher impact risk events, organisers (if not having the required competence and experience for their event management) must appoint a suitably competent Safety Co-ordinator to help comply with health and safety legislation. This person should report directly to them. The Safety Co-ordinator must be appointed as early as possible so they are involved in event planning, if it is in-house, the same procedures apply.

The Safety Co-ordinators/Competent Event Advisory role should be defined in the responsibilities section of the event health and safety plan, and remit should include:

- advising on venue or site suitability
- assisting the event organiser in identifying hazards and risks at the planning stage
- helping the event organiser to identify and control hazards and risks as the event progresses
- assisting the event organiser in determining suitable and sufficient precautions to be taken to control the risks
- advising the organiser on the adequacy of the event safety plan and risk assessments
- where the event involves construction work (such as marquees, staging, scaffolding etc.) assisting the organiser to write a Construction Phase Plan and create a Health and Safety file in compliance with the *Construction (Design and Management) Regulations 2015*
- aiding the organiser in the competence assessment of contractors and subcontractors
- advising on the development of site safety rules
- identifying event-specific health and safety training needs for employees, contractors and others
- developing monitoring arrangements to be applied by key event staff
- auditing and inspecting of safety performance throughout the event
- incident investigation
- liaising with enforcement agencies
- reviewing outcomes of monitoring and preparing a debrief report
- ensure adequate health and safety supervision is on site at all times

Competence is best defined as a mix of education, training and experience. It is not the responsibility of the Corporate Health, Safety and Resilience Team to appoint competent contractors (that remains with the organiser), but competence and good practice extend across all areas of event planning and risk management.

As required by the Management of Health and Safety at Work Regulations 1999, employers (including event organisers) must have access to competent advice in applying the provisions of health and safety law. This means that an organiser must have the health and safety knowledge

and skills to identify any hazards and assess the related risks. If this is not already available in-house (within the department organising the event), help with managing health and safety should be sought from other sources, such as specialist contractors and health and safety consultants/advisers.

It must be remembered that the organiser, not the health and safety coordinator or consultant, has the ultimate legal duty to ensure that risk management is implemented and carried out properly.

#### **4.6 Documentation**

The results of event safety plans will form the basis of risk assessments and vice versa. It is important to communicate these plans to key staff and contractors throughout the planning stages. This does not necessarily mean they need to be given the whole risk assessment document, just the relevant findings and any particular hazards or working arrangements that may affect them.

The Event Safety and Management Plan consolidates all relevant information into a single authoritative document. This will vary significantly in size and detail, depending on the scale and complexity of the event.

Of which the main key components include:

- an outline of the event – date, location, start/finish time, type of activity or event
- the organisation chart and levels of safety responsibility
- an audience profile – who is expected to come and what implications this might have for safety management, such as arrival circulation and exit profiles, expected densities, and the numbers and types of stewards
- a management outline – details of the key management holders and their duties
- details of the event, including venue design, structures, audience profile and capacity, duration, food, toilets, refuse, water, special effects, access and exits, music levels etc
- the transport management plan detailing the parking arrangements, highway management issues and public transport arrangements
- the contingency plan including a major incident plan
- summary of key risk assessments and findings
- site plans

**4.7 Managing the phases of an event**

Ensure appropriate management arrangements are in place for each stage of the event, from planning through to construction and load-in, the event itself and dismantling;

Managing the Phases of an Event: <i>Based on the Purple Guide;</i>	
The 'planning phase'	Plan the venue design, select competent workers, select contractors and subcontractors etc. Under the <i>Construction (Design and Management) Regulations</i> you are required to appoint a Principal Designer and Principal Contractor or take on the role yourself. The Principal Designer should create a Health and Safety file to include (amongst other things) any structural engineering calculations, health and safety inspection forms and structural sign-off forms) <a href="http://www.hse.gov.uk/construction/cdm/2015/index.htm">http://www.hse.gov.uk/construction/cdm/2015/index.htm</a> . Use the Construction Phase Plan (CPP) to identify the provision of first-aid and welfare facilities (including an adequate water supply) for the people who will be working onsite and ensure they are suitable, in sufficient numbers and available from the time that work begins. A template CPP can be found at <a href="http://www.hse.gov.uk/pubns/cis80.pdf">http://www.hse.gov.uk/pubns/cis80.pdf</a>
The build-up and load-in	Plan for the safe delivery and installation of equipment and services that will be used at the event e.g. construction of the stages, marquees and fencing, erection of stage equipment used by the performers, lighting and public address (PA) systems etc
The live event or public phase	Plan effective strategies for crowd management and transport management Deal with fire, first aid, contingencies and major incidents Plan for the servicing of facilities and supporting services
The breakdown and load-out	Plan for the safe removal of structure, equipment and services, the collection of rubbish or waste and the eventual return of the site to its original use or preparing it for the next incoming event
Debrief	Arrange to receive debrief notes from key people. Debrief meeting and plan for next event

**4.8 Contractor selection and management**

Contractor selection and suppliers for an event is an important part of the organiser’s role.

Contractors should:

- be prepared to demonstrate knowledge and understanding of their work and the health and safety hazards involved and take responsibility for their own safety

- provide evidence on the competence of key staff for the project and trained workforce
- confirm that they have sufficient resource levels to do the work
- demonstrate adequate levels of insurance specific to the tasks they are going to undertake
- provide evidence of previous successful work that shows they can adopt and develop safe systems of working
- in the absence of experience of previous work, demonstrate an appropriate level of technical ability (being a member of an accreditation scheme, professional organisation or trade association may help with this).

Once physical activity starts at the event site, the focus of attention needs to move away from planning and paperwork to the effective management and monitoring of site operations. This may include site visits, site meetings, depending on the size and length of event, as some events may be over a period of days, compared to a one-day event.

#### **4.9 Information, instruction and training**

Information must be provided to employees and others, including contractors, with relevant information on any risks to their health and safety identified by your risk assessment/s. Contractors will need to do the same for their employees. This can be part of a briefing about a work activity or task. You may also want to provide relevant information to the public, e.g. in the form of signage.

A useful means of ensuring everyone works safely onsite is to set some basic rules and carry out a short briefing or site induction to communicate important information, such as site hazards and control measures. For example, people coming onto site may need to be told about:

- health and safety measures
- buried services, such as electric cables - NOTE: there must be no breaking of ground without the use of cable avoidance tools
- overhead services, such as electric cables
- safe speed limits
- where they can safely park
- first aid, toilets and wash facilities
- emergency arrangements

To be of any value, a site induction has to take place before crews start work, so it needs to be brief, adaptable and, above all, relevant. In the events industry, this can often be linked to issuing of accreditation required to gain access to the site or specific work area.

#### **4.10 Competency**

A competent person is someone who can demonstrate that they have sufficient professional or technical training, knowledge, experience, and ability to enable them to:

- carry out their assigned duties at the level of responsibility allocated to them
- understand any potential hazards related to the work (or equipment) under consideration
- notice any technical defects or omissions in that work (or equipment), recognise any implications for health and safety caused by those defects or omissions, and be able to specify a remedial action to mitigate those implications

#### **4.11 Supervision**

There may be a requirement for supervision, an appropriate level of competent supervision, proportionate to the risk, nature of the work involved and the personnel involved.

#### **4.12 Monitoring**

The controls within your risk assessment should set out the frequency of checks, who is responsible for them and the methods they use.

The agreed methods for controlling risks should be periodically checked and tested to ensure they are working and being followed.

For larger event sites, a number of people may share the monitoring role. Whomever is given the role should be familiar with the risk assessment findings and control measures, and be able to identify new hazards and assess risks as they arise.

For small-scale events, a simple checklist will most likely be enough. Others with managerial responsibilities can also assist in this monitoring role while undertaking their other duties.

### 4.13 Regulatory compliance

#### **Key Messages from the Purple Guide**

- Health and safety law places duties on businesses involved in events to ensure the health and safety of their employees and the public
- Further legislation relating to entertainment licensing, fire safety and safety at sports grounds applies to events and is signposted in The Purple Guide
- Events run by volunteers (where no one is employed) are generally not covered by health and safety law, unless someone is in control of premises see [www.gov.uk/government/news/can-do-guidance-will-make-organising-volunteer-events-simpler](http://www.gov.uk/government/news/can-do-guidance-will-make-organising-volunteer-events-simpler). However, that does not mean they are not responsible for managing safety and civil law may also be applied.
- Enforcement of health and safety law at events is shared between the Health and Safety Executive (HSE) and local authorities.
- Enforcement of fire safety legislation generally rests with individual fire and rescue authorities. There are exceptions such as Sports Grounds, please ensure you liaise with your Fire Service who will be able identify this for you.

The main law governing health and safety at work in the UK is the Health and Safety at Work etc Act 1974 (HASWA). This places general duties on employers, the self-employed and people in control of premises to ensure, so far as is reasonably practicable, the health and safety of their employees and anyone else that may be harmed by work activities or the workplace, e.g. the audience, members of the public. Other responsibilities include the *Occupiers' Liability Act 1957* - a duty owed to visitors, and the *Occupiers' Liability Act 1984* - a duty owed by the occupier to persons other than visitors. The *Regulatory Reform (Fire Safety) Order 2005* deals with duties arising under fire safety. The *Licensing Act 2003* is a specific area where additional responsibilities and duties may apply to organisers.

The most significant difference between events organisation and other work activities is the large numbers of people who, though not employees, are still owed a duty of care. It is known that due to the events, and relaxed nature, people enjoying themselves can behave differently; they will be in unfamiliar surroundings, they may be trying new activities, celebrating, or under the influence of drink and drugs.

Organisers need to think about their audience and the performer profile, and bear in mind who is coming to the event and how they are going to behave. There is a need to consider the most

vulnerable, e.g. children, the less able and the intoxicated when planning/designing a safe site. Each crowd is unique to that event/activity.

*HASWA section 2* places duties on employers to provide their employees with:

- safe machinery, equipment and systems of work – this includes all equipment used at events, from structures to lasers and generators
- methods for ensuring equipment and harmful substances are used properly and stored safely
- necessary information, instruction, supervision and training
- a safe and healthy workplace
- a safe and healthy work environment, including adequate lighting, heating, ventilation and toilet facilities.

### **Volunteers**

The job of volunteering doesn't fall within the scope of health and safety law unless it is done through an organisation that is an employer, although the organiser of an event is still responsible for its safe management. It should be noted that volunteers should be inducted and trained/made aware of all risks detailed within the risk assessment documentation.

### **4.14 Environment**

The County Council must agree any works that affect the highway and associated equipment, including additions to lamp columns, in advance. It reserves the right to carry out any agreed work itself at the organiser's expense. All advertising must have consent from the Council as this can undermine the character and image of the borough, and may obscure essential information. Removal of all structures and materials relating to an event is to be achieved as quickly and as safely as possible after the event.

Temporary, reversible decoration (e.g. banners, lights, and signage) may be justified in some circumstances. Additions to the street may require planning permission or advertisement consent and advice should be sought before putting anything in place

### **4.15 Noise**

Events must also comply with *The Control of Noise at Work Regulations 2005* for staff and contractors on site.

Noise levels generated from an event need to be agreed in advance and kept at a reasonable level. If DBC Environment Health have cause for concern about the noise from a planned event they reserve the right to require the event organiser to appoint an independent acoustic consultant to be on site to provide continual monitoring of noise levels. The organiser is expected to reduce sound levels on the day if conditions require it, and if instructed by EHO's.

Noise should not create an unreasonable impact on any business or residential premises in the vicinity of the event site. If the event has a Premises Licence, then it must operate in accordance with any sound level limit or conditions attached to the Licence. A sound level limit may need to be set and/or continuous noise monitoring put in place, to ensure compliance with Licence conditions and ensure that the event does not cause a statutory nuisance.

#### **4.16 Parking**

For large scale suspensions of bays used by residents, alternative parking for residents will need to be provided nearby, by the removal and temporary conversion of paid-for visitor parking bays. The conversion of these bays is chargeable.

Additional parking requirements resulting from events must be planned, such as servicing, dropping off visitors by coaches, and space for taxis.

Parking will not be suspended to create space for VIP arrivals or departures unless the circumstances are exceptional.

#### **4.17 Traffic and highways management**

Herts County Council is required to consider all traffic and highways management implications of events to fulfil its duty to keep the borough moving. A minimum period is required to implement traffic management measures, such as *Temporary Traffic Management Orders* to close roads, advance warning signs of events, diversion routes, and traffic controls. Costs for any traffic management order must be incurred by the event organiser. Details of current costs are available on the Council's website.

There are restrictions on the number of times roads can be closed in a calendar year so this will be considered as part of the application process and may mean that permission for the event is refused or that an alternative location is suggested.

Structures in the highways such as cranes and scaffolding require a highways licence which must be sought from the council in advance. Herts County Council must give permission for any change to the highway, such as removing street furniture to alter the character of a street, and would typically insist such works are carried out by its own contractor at the organiser's expense.

Residents, visitors and those engaged in business must be able to move reasonably freely through the borough, and public services should be able to operate without unreasonable disruption. Occupiers must be able to access their premises with minimum disruption. Access for emergency vehicles must be maintained with minimal impact on response times.

#### **4.18 Licensable activities**

The event organiser is responsible for ensuring that all required licences are obtained in sufficient time and all conditions specified in these licences are adhered to. The costs for any licence shall be incurred by the event organiser. Details of current costs are available on the Council's website.

Such licences could include, but are not limited to:

- Performing Rights Society (PRS)
- Phonographic Performance Limited (PPL)
- Street Trading Licence
- Special Treatment Licence
- Premises Licence
- Temporary Event Notice (TEN)

Events that include 'licensable activities', such as the sale of alcohol and regulated entertainment (such as live music) need to be covered by a Premises Licence. Small events can be covered by a Temporary Event Notice (TEN). The Council may attach conditions to a licence, and these could address any of the four licensing objectives; prevention of crime and disorder, public safety, prevention of public nuisance and protection of children from harm.

The Council can grant licences for 'regulated entertainment' for certain areas of publicly accessible streets and open spaces, which means that these areas are treated as premises, or 'venues' for licensing purposes. Events in these areas will be expected to be run under the conditions of any existing Premises Licence for these areas unless an additional TEN has been submitted. It should not normally be necessary for a TEN to be submitted in these circumstances.

#### **4.19 Food Safety**

If mobile food traders are to cater the event, the traders are to complete the online DBC food safety questionnaire. This allows environmental health officers to check the food safety and hygiene measures that will be followed, and to give appropriate advice where necessary.

 [Food safety questionnaire for outdoor event caterers \(PDF 93KB\)](#)

It is the responsibility of the event organiser to ensure these questionnaires are completed and return to the Environmental Health Team: [ecp@dacorum.gov.uk](mailto:ecp@dacorum.gov.uk)

#### **4.20 Waste and recycling**

The event organiser must provide a waste management plan which is approved by the Council. The waste management plan should show how the organiser will work with the council to reduce the amount of additional council contractor cleansing that is needed during and after the event (if on DBC land).

The waste management plan should show how the organiser will manage, recover and recycle or dispose of waste and street litter safely, and meet all environmental regulations and statutory requirements. Waste should be minimised and recycled as much as possible.

The Council has a strict 'No Drinking Glass' policy at events.

#### **4.21 Public conveniences and welfare facilities**

The event organiser is responsible for the welfare of the public, which includes provision of temporary toilets. An adequate number of toilets must be available for an event and any temporary toilets must not obstruct the highway. All facilities must meet health and safety requirements. Further guidance can be found on the Council's website.

#### **4.22 Sharing Information**

Communications and publicity about events must be co-ordinated with the Council and its partners.

All events are expected to fully disclose any information relating to or impacting upon any aspect of the event, so the Council and its partners have no surprises that have not be assessed for risk and danger to the public.

#### **4.23 Planning permissions and advertisement consent**

Planning permission will normally be required for all temporary uses within a building, and temporary moveable structures placed within the curtilage of a building. Temporary events on land not within the curtilage of a building, and associated moveable structures, are allowed up to 28 days in any calendar year without the need for planning permission. This reduces to 14 days where events involve street trading and some other activities such as motor racing. Advertisements (including sponsorship branding) visible from the highway normally require consent and advice should be sought before anything is put in place. This includes the display of sponsors' details on banners and directional signage. Any attachment or alteration to a listed building or listed structure will normally require listed building consent.

#### **4.24 Parks and open spaces**

There are a number of parks and open spaces that can be hired for events throughout the borough. Examples of events that may be held in DBC parks include circuses, charity functions, festivals, fetes and fairgrounds.

**Appendix 1 Internal Events Notification form**

DBC INTERNAL EVENTS NOTIFICATION FORM		
Event details:		
Name of event:		
Date(s) of event:		
Time(s) of event:		
Set-up from:	Start of event:	End of event:
Briefly describe the event and activities to be undertaken:		
Expected attendance:		
Private or public Event:		
Please list any higher-risk activities proposed as part of the event:		
List of all Providers:		
Confirm that all insurance, risk assessments, ADIPS, Pipa have been checked:		
Event location:		
Event will take place:	Indoors	Outdoors                      Both
Event organiser name:		
Directorate/Service:		
Please return your completed form, and any related documents, by email to: <b>SafetyAdvisoryGroup@dacorum.gov.uk</b>		

## **Appendix 2 Health and Safety Information for Small Street Parties**

### ***Exemplar:***

**Must** = Compliance with Health and Safety and Fire Safety Laws

**Should** = National Standards and Recommended Good Practice

This information covers the most common hazards associated with Small Street Parties. It is not an exhaustive list of hazards, and health and safety responsibility lies with the duty holder (i.e. The Event Organiser(s)). Please note that a risk assessment **must** be completed, which identifies and controls the risk of harm from all significant hazards at the event, as far as reasonably practicable.

### **1. Structures**

- (a) All structures; stalls, gazebos, awnings, tables, **must** be erected and used in line with the manufacturers guidance and must be stable.
- (b) All structures **must** be suitable for the load placed upon them so as not to cause structural collapse, this includes shelves and rails.
- (c) All entrances and exits to buildings/structures **must** be kept clear.
- (d) All walk ways, entrances, exists, and public areas **must** be kept free of obstructions and trailing cables.

### **2. Inflatables (e.g. Bouncy Castle)**

- (a) All inflatables **should** be to the relevant standards, BS EN 14960 and be sourced from a reputable company.
- (b) All inflatables **must** have undergone an annual examination by competent person. (*Ask to see proof of this examination by a recognised body such as PIPA or ADIPS*).
- (c) Ensure a suitable location is identified which does not impede on pathways and exit routes. There **should** be plenty of room around the bouncy castle especially at the entry point to avoid congestion.
- (d) Inflatables **must** be properly anchored as per manufacturer instructions; this should usually be done by the supply company. **Must** have minimum 6 anchor points, and more if the manufacturer guidelines specify, and **must** detail this information within the risk assessment
- (e) Blowers **must** be suitably guarded at the inlet and outlet.
- (f) Impact absorbing mats **must** be positioned at the open side of the inflatable.
- (g) At least one person **must** constantly supervise the children on the inflatable.

- (h) The inflatable should not be overcrowded and **must** not exceed the maximum load capacity (*Provider/Hire company should be able to advise you of the inflatables maximum capacity*).
- (i) Mixing small children with bigger children **should** be avoided at busy times to prevent small children being crushed by bigger ones.
- (j) Shoes and sharp objects such as jewellery **should** be removed before entering in the inflatable.
- (k) The inflatable **must** not be used in poor weather conditions such as strong winds or heavy rain, and there **must** be a detailed monitoring and control measures of how wind is measured. This control measure and emergency planning control measure also required to be detailed in the risk assessment.

**Animal Safety and Infection Control, - e.g. mobile farms and donkey rides**

If you wish to have animals at your event you **must** speak to the Dacorum Borough Council Environmental Health team as this may require a Licence. You **must** also note the following:

- (a) Choose a reputable company and ask to see their risk assessment for your event. If you are hiring donkeys or ponies for rides the company must have a licence under the *Riding Establishments Act 1964*.
- (b) Check the company are bringing any personal protective equipment required for the event- e.g. helmets, safety boots, etc.
- (c) If you are hiring a mobile farm check that all animals will be securely penned in during the visit.
- (d) Check if the company are bringing their own hand wash facilities. If hand washing facilities are not provided by the hiring company you will be responsible for providing this. Hand washing facilities must be easily accessible, have hot and cold or warm running water, soap and hygienic hand drying facilities. All of which should be reviewed and audited during set up and event period.
- (e) Ensure all children are accompanied by an adult.
- (f) Ensure that arrangements are in place to inform people that they must wash their hands after touching the animals, signage placed at various areas and of a size to be clearly noticed
- (g) Check the company's arrangements for removing the animal waste and clearing the site after the event.
- (h) Check sufficient staff members will be attending the event.

## **1. Face Painting**

- (a) Parental permission **should be** obtained before painting a child's face.
- (b) If the child has any open cuts or sores or fresh bruising face painting **should** not be undertaken.
- (c) A skin test is **advised** if the child has any food allergies or allergic reactions to soaps, skin creams, etc. All brands are different, so a reaction to one brand does not mean someone will react to another brand.
- (d) Ensure the parent cleans the child's face before painting.
- (e) Separate wipes/sponges **should** be used for each child.
- (f) Professional hypoallergenic paints and products **should be used**.
- (g) Use clean utensils. Wash containers, brushes and sponges thoroughly after each session.  
Try to keep them clean during the session.
- (h) Change brush water frequently.

## **2. Henna Hand painting**

- (a) Henna also known as mehndi **should** only be carried out by an experienced person.
- (b) The application of henna **should** be restricted to hands and forearms.
- (c) An assessment **should** be made whether a child is too young to have henna applied on their hand(s).
- (d) Black henna (sometimes called natural henna) **must** not be used at all. These are known to cause permanent scars and cause serious skin allergy.
- (e) Henna **must** not be applied over cuts, spots, eczema, psoriasis or any other skin conditions.
- (f) A basic hand washing and drying facility **should** be available for the henna applicator.

## **3. Electrical Safety**

- (a) All electrical equipment used, including cables and sockets, **must** be maintained in good condition.
- (b) All electrical equipment used, especially extension leads and sockets, **must** be suitable for outdoor use.
- (c) Any supply likely to be above a max of 13 Amps sourced from a commercial or private property **must** be done via a competent NICEIC or equivalently trained electrician.

(d) All outdoor electrical connections **should** be protected by Residual Current-operated Circuit Breakers with a 30mA tripping current which has been regularly tested by a competent electrician.

#### **4. Generators**

*You must only use a generator to generate electricity if you have permission to do so. Event Providers **must** not be allowed to dictate their own choice and preference of fuel for generator, but be instructed to follow DBC guide;*

- (a) Generators **should** be diesel - this is because the fuel is less flammable.
- (b) Generators **must** not be overloaded – use the correct generator capable of safely supplying the electrical load placed upon it.
- (c) Generators **must** be protected from adverse weather
- (d) Generators **must** have adequate ventilation at all times.
- (e) Generators **must** be sited away from the public and/or in a protective cage on a hard standing or firm ground.
- (f) All external plugs and sockets connected to a generator **must** be suitable for outdoor use.
- (g) Electrical connections from generators **should** be fitted with an inline Residual Current Device (RCD) or circuit breakers.
- (h) All generators **must** be located in suitable area that will not cause hazards or nuisance.
- (i) Where necessary generators **must** be suitably guarded to prevent access by unauthorised persons.
- (j) Generators **must** be switched off while refuelling.

#### **5. Barbeque and hot equipment**

- (a) All Barbeques (BBQs), and other hot appliance/equipment **must** be stable and secure.
- (b) All BBQs and other hot equipment **must** be located in a suitable location that does not cause a hazard to the public or persons on the stall (e.g. block fire exits or fire breaks)
- (c) All BBQs and other hot equipment **must** be adequately guarded to protect the public from the hot surfaces.
- (d) Any hot coals **must** be damped down and cooled sufficiently prior to disposal.

## **6. Use of Liquid Petroleum Gas (LPG)**

### **6.1 Appliances**

- (a) All gas appliances **must** be suitable for use with LPG.
- (b) All gas appliances used **must** have been serviced by a competent Gas Safe registered engineer within the last 12 months.
- (c) All fryers **should** be fitted with an automatic high temperature-limiting device (that limits the temperature of the fat or oil used to 250°C or lower)
- (d) All gas appliances **must** be secured on a stable, heat proof table
- (e) All gas appliances **must** be located away from materials that could easily catch on fire. Ideally they **should** be 300mm from the wall of the structure.
- (f) There **must** be a system in place to ensure the gas supply is cut off in the event of the flame going out to prevent a leak of LPG. Modern appliances used are fitted with a flame failure or flame supervision device and this is the most effective method.

### **6.2 Hoses and connections**

- (a) All LPG hoses **must** be in good condition.
- (b) All LPG hoses **should** comply with BS 3212 or BSEN 1763.
- (c) All LPG hoses **should** be less than 2 metres in length from the cylinder.
- (d) All fastenings to connect hoses to appliances, cylinders etc., **should** be crimp fastenings (i.e. Double Ear "O- Ring" Clips).
- (e) All connections **must** be checked for leaks before any cooking commences. This **should** be done via the use of leak detection fluid.

### **6.3 Cylinders**

- (a) All cylinders **should** be stored in well ventilated areas.
- (b) All cylinders **should** be stored upright and away from any ignition sources or flames.
- (c) All cylinders **should** be located 2 metres away from any drain or gully.
- (d) All cylinders **must** be fitted with the correct pressure regulator for the gas type (i.e. propane or butane) and appliance and **should** comply with BS 3016 or BS EN 12864.
- (e) All cylinders **should** be fitted with an automatic cut off valve.
- (f) All cylinders **must** be turned off when not in use.
- (g) Where cylinders are 13kg or larger they **should** be appropriately secured to prevent them falling over.

## **References**

### **Legislation**

The Health and Safety at Work Etc. Act 1974

The Management of Health and Safety at Work Regulations 1999

The Gas Safety (Installation and Use) Regulations 1998

The Electricity at Work Regulations 1989

The Workplace (Health, Safety and Welfare) Regulations 1992

The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

The Regulatory Reform (Fire Safety) Order 2005

The Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018

The Riding Establishments Acts 1964

### **Standards and Guidance**

UKLPG User Information Sheet 017 – Use of clips to secure vapour phase LPG hose and tubing to BS3212 and EN1763 to end fittings

UKLPG User Information Sheet 028 – Safe Use of Propane and Butane Cylinders & Cartridges

Calor Gas Limited, Technical Publication – Guidelines for the Safe Use of LPG in Mobile Catering Installations and Vehicles

Calor Gas Limited, Technical Publication – Calor Cylinder Storage Information

## **Appendix 3 Health and Safety Information for “Running” and “Jogging” Events**

### ***Exemplar;***

Event organisers should draw up an ‘Event Management Plan’ that will address all the significant arrangements needed for the smooth running of the event. This should also include a site plan. In addition, a risk assessment must be completed for all significant hazards at the event based on the size, location and nature of the running/jogging event.

**This information sheet is for advice only. The management responsibility of health and safety at events lies with the duty holder (Event Organiser).**

**Must** = Compliance with Health and Safety and Fire Safety Laws

***Should*** = National Standards and Recommended Good Practice

### **1. Participants**

- (a) All participants **should** be provided with a health questionnaire to complete and return. This will identify if anyone has any serious underlying health condition and whether or not additional precautions need to be in place.
- (b) Facilities **should** be provided for the participants to securely store their valuables.
- (c) A group warm-up session **should** be carried out before the run to minimise muscular injuries.
- (d) Depending on the number of participants, a staggered start to the run **should** be considered based on individual ability and performance history.

### **2. Route**

- (a) On the event day the whole route **must** be checked for any hazards such as broken glass, loose branches etc. and removed safely.
- (b) Suitable signs **should** be erected along the route to ensure runners do not stray from the intended route.
- (c) Stewards **should** be suitably positioned to monitor any incidents on route and re-direct any stray runners.
- (d) Accessibility and provision for disabled runners **must** be made if they are permitted to partake in the event.

- (e) Where a race is off track, adequate numbers of marshals must be placed on all crossing points to ensure collisions between runners, pedestrians and vehicles are avoided.

### **3. Structures**

- (e) All structures; stalls, gazebos, awnings, tables, **must** be erected and used in line with the manufacturers guidance and must be adequately stable.
- (f) All structures **must** be suitable for its purpose.
- (g) All entrances and exits to structures **must** be kept clear and free of obstructions.

### **4. Inflatable Gantries**

- (a) Inflatable gantries **should** be sourced from a reputable company.
- (b) Ensure a suitable location is identified which does not impede on pathways and exit routes.
- (c) The inflatable gantry **must** be anchored sufficiently by professionals and take into account the wind direction, strength and speed on the day.

### **5. Electrical Safety**

- (e) All electrical equipment used, such as a PA system, including cables and sockets, **must** be maintained in good condition.
- (f) All electrical equipment used, especially extension leads and sockets, **must** be suitable for outdoor use.
- (g) All outdoor electrical connections **should** be protected by Residual Current-operated Circuit Breakers with a 30mA tripping current which has been regularly tested by a competent electrician.

### **6. Food Caterers**

- (a) Any external Caterers contracted for the event **must** be notified to the DBC Environmental Health Department of the Council in order to check the caterer has adequate provisions arranged for the day to serve food to the public safely.
- (b) Before appointing a caterer, consider checking their Food Hygiene Rating Score. This can be done through the Food Standards Agency website: <http://ratings.food.gov.uk/>

## **7. Welfare Facilities**

- (a) Toilet facilities **must** be provided for participants and staff working during the event. The number of portable toilets you require will depend on the duration of the event and the number of participants expected to attend. For events lasting less than 6 hours, 1 toilet **should** be provided for every 125 female and 1 toilet for every 600 males. In addition 1 urinal **should** be provided for every 175 males. Also consider at least one toilet for disabled use.
- (b) Drinking water provision **should** be made available to participants especially during and after the race. This would be more pertinent on a hot day to avoid any cases of dehydration.
- (c) First aid provision **must** be available to treat minor injuries such as cuts and grazes. Appropriate number of trained first aiders **must** also be arranged. Arrangements should be made during the event planning stage on how to deal with major injuries and emergencies.

## **8. Child Safety**

- (a) A child safety Guidance note **must** be in place to address lost children, child abuse etc.
- (b) A lost child area **should** be identified in the event plan.
- (c) Staff responsible for handling a lost child **must** be DBS checked.

## **9. Special treatments**

- (a) Therapists arranged to carry out treatments such as foot massage, sports massage etc. may be subject to a special treatments licence. An application for a licence **must** be made at least 6 weeks before the event. Special treatments cannot be carried out without a valid licence unless an exemption applies which must be approved by the Council.
- (b) Further advice can be obtained from Dacorum Borough Council Environmental Health (Health and Safety) Team.

## References

### Legislation

Health and Safety at Work etc. Act 1974

The Management of Health and Safety at Work Regulations 1999

The Electricity at Work Regulations 1989

The Workplace (Health, Safety and Welfare) Regulations 1992

The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

The Health and Safety (First Aid) Regulations 1981

### Standards and Guidance

The Event Safety Guide (Second Edition): A guide to Health and Safety and Welfare at Music and Similar Events – Health and Safety Executives (HSE). ISBN: 9780 7176 24539

<http://www.hse.gov.uk/risk/index.htm> - Risk Assessment and Examples

<http://ratings.food.gov.uk/> - Food Standards Agency, Food Hygiene Rating

Nationwide Caterers Association (NCASS) – Guidance for the Installation of LPG and LPG Fired Equipment in Tented Structures, Stalls and Gazebos

Chartered Institute of Environmental Health (CIEH) – National Guidance for Outdoor and Mobile Catering

Preventing or Controlling Ill Health from Animal Contact at Visitor Attractions Industry Code of Practice

<http://www.facepaintingassociation.com/about-face/code-of-practice.html>

<http://www.hse.gov.uk/entertainment/fairgrounds/faqs.htm> - Inflatable FAQs

<http://www.hse.gov.uk/risk/index.htm> - Risk Assessment and Examples

## Appendix 4 Temporary event notice and Premises Licence criteria

- Advance notice

If you submit your application at least 10 full working days before the start of your event, it will be considered as a standard temporary event notice. This period excludes:

- the day on which you made your application
- the day(s) of your proposed event
- any Saturdays, Sundays, bank holidays or other public holidays

You are permitted to give a small number of late temporary event notices each year, which can be submitted between five and nine full working days before the start of your event. Late temporary event notices (TENs) are subject to immediate veto if any objections are made against them, so we strongly encourage event organisers to give standard TENs wherever possible. The maximum number of late TENs which can be given in each calendar year is:

- 10 late TENs per year - if you hold a valid personal licence
- 2 late TENs per year - in all other circumstances

We cannot accept any temporary event notice which is given to us less than five full working days before the start of the event.

- Size of event

Temporary event notices are only intended to be used for small, infrequent events. As such, they can only be used by the organisers for events with no more than 499 persons present at any time. This figure includes all customers, organisers, staff, contractors and performers who will be present on the event site.

If you are planning an event which may have more than 499 people on site at any time, you will need to apply for a premises licence instead.

- Duration of event

A temporary event notice can last for a maximum of 168 consecutive hours (equivalent to seven days) from start to finish. If you are arranging a single event with a longer duration, you will instead need to apply for a premises licence.

A series of events taking place at a single premises can be authorised either under a single TEN (if they take place on consecutive days), or multiple TENs (if spread over a longer period), subject to the other criteria being met.

- Separation of events

If you are organising multiple events at a single premises, you will need to ensure that there is a gap of at least 24 hours between the end of one temporary event notice and the start of another.

If you are planning events on consecutive days, you can put these on to a single TEN, subject to the other criteria being met.

- Frequency of events at premises

Each 'premises' can have up to 15 temporary event notices in a calendar year, which when added together allow events on no more than 21 calendar days in that year (so that an event starting before midnight and ending after midnight will count as two days).

The definition of premises includes any building, land, vessel or vehicle, or part thereof, providing that there is adequate separation and control of each separate part of the premises.

- Quota of events by applicant

In each calendar year, an individual applicant is permitted to give:

- up to 50 temporary event notices, if they hold a valid personal licence
- up to five temporary event notices, in all other circumstances

This limit applies across the whole of England and Wales, so if you've already given temporary event notices in another council area, you will be able to give fewer TENs in Dacorum.

The limit also applies jointly across any associated persons, so a married couple, family members, work colleagues or business partners will only be able to give 50 or five TENs between them.

- Age of applicant

Temporary event notices can only be given by individuals who are at least 18 years of age.

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### **Making an application**

You can apply for a temporary event notice online, or by printing the application form and returning it to us. The fee for each temporary event notice is £21, and payment must be made at the time of application.

- [Apply online for a temporary event notice](#)
-  [Temporary event notice application form \(PDF 667KB\)](#)

If you make a paper application, you must also send copies of your application to the police and environmental health, at the addresses given on the front of the application pack. If you apply online using the above link, we will do this for you.

Police and environmental health officers can make objections about your event within a period of three working days, beginning from when they receive your application. They may also contact you to see if you would be prepared to modify your TEN in a way that would resolve any concerns (for example, reducing the hours you are seeking). There is no legal power for any other party, including members of the public, to object to temporary event notices.

If an objection is made against your temporary event notice, we will let you know as soon as possible. What happens next will depend on how far in advance you applied:

- if you gave a standard TEN: we will arrange for your temporary event notice to be considered by our Licensing Sub-Committee (a panel of three councillors) at a public hearing, and you will be invited to attend this. After hearing from all parties, the Sub-Committee will make a decision either to allow your event to take place, or to issue a counter-notice which will veto the event. If the event is allowed to take place and the application relates to licensed premises, the Sub-Committee may also decide to bring forward conditions from the premises licence and apply these to the temporary event notice.
- if you gave a late TEN: we will automatically issue a counter-notice, which vetoes the event. Given the limited timescales, there is no right to a hearing in these cases.

When we receive a valid temporary event notice, we will send you an acknowledgement letter - by law, we have to send this before the end of the period for objections to be made. Unless you hear otherwise from us, once you have received the acknowledgement letter you may proceed with your event. During the event, you must have a copy of the TEN on display or available for inspection by either police officers or authorised council officers, who have a right of entry to the event site.

#### **Tacit consent**

Tacit consent will apply to all valid and correctly served temporary event notices, to which no objections are made. If you have not heard from us within five working days of submitting your application, you may proceed with your event.

#### **Related Legislation**

- a) The Licensing Act 2003
- b) The Live Music Act 2013
- c) The Deregulation Act 2015

## Appendix 5 Related legislation

Organisers running modest scale events may wish to also refer to the HSE's event safety web page [www.hse.gov.uk/event-safety/index.htm](http://www.hse.gov.uk/event-safety/index.htm)

### Related Legislation

- a) The Environmental Protection Act 1990;
- b) The Food Safety Act 1990;
- c) The Food Safety and Hygiene (England) Regulations 2013;
- d) Regulation (EC) 852/2004
- e) The Factories Act 1961;
- f) Construction (Design and Management) Regulations 2015;
- g) Work at Height Regulations 2005;
- h) Lifting Operations and Lifting Equipment Regulations 1998;
- i) Provision of use of Work Equipment Regulations 1998;
- j) Personal Protective Equipment at Work Regulations 1992;
- k) Manual Handling Operations Regulations 1992;
- l) Control of Noise at Work Regulations 2005;
- m) Control of Substances Hazardous to Health Regulations 2002;
- n) The Occupiers' Liability Acts 1957 and 1984;
- o) Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013;
- p) The Health and Safety (First Aid) Regulations 1981;
- q) The Workforce (Health, Safety and Welfare) Regulations 1992;
- r) The Management of Health and Safety at Work Regulations 1999;
- s) The Health and Safety (Display Screen Equipment) Regulations 1992;
- t) The Health and Safety (Information for Employees) Regulations 1989;
- u) The Electricity at Work Regulations 1989;
- v) Health and Safety (Safety, Signs and Signals) Regulations 1996;
- w) Regulatory Reform (Fire Safety) Order 2005;
- x) The Gas Safety (Installation and Use) Regulations 1998;
- y) The Control of Asbestos Regulations 2012.
- z) The Dacorum Borough Council Byelaws For Pleasure Grounds, Public Walks And Open Spaces
- aa) The Health and Safety at Work Etc Act 1974;

## **Appendix 6 The Event Toolkit**

The event toolkit is a collection of documents and guidance that will help you to successfully hold a small to large scale event in Dacorum.

### **Notify us of your event**

#### **Sample Documents and Templates**

##### **General Guidance**

- [Dacorum Borough Council Event Guidance](#)
- [Health and Safety Executive - Guidance on running events safely](#)
- [The Purple Guide to Health, Safety and Welfare at Music and Other Events](#)
- [Health and Safety Executive - Guidance for events which attract large numbers of visitors, such as festivals and concerts](#)
- [National Counter-Terrorism Security Office - Advice to help mitigate the threat of a terrorist attack in crowded places](#)

##### **Specific Guidance**

- [Managing Event Water Safety: Principles and Practice](#)
- [Crowded Places Guidance 2017](#)

## **Appendix 7 Emergency Preparedness**

### **KEY POINTS:**

- **To emphasise the importance of risk management throughout the event planning and event stages. To reduce, mitigate and plan for consequences of identified threats and hazards, to the event.**
- **To emphasise the importance of having plans in place to effectively reduce and mitigate risks; prepare and respond to disruption; health and safety incidents and emergencies.**
- **Being prepared for the initial response to an emergency is the responsibility of the event safety management.**
- **Liaise with the emergency services, and other relevant agencies, to prepare appropriate plans.**
- **That robust management and communication arrangements are in place to implement these plans.**
- **All involved with the management of events (including employees and volunteers) need to be trained and briefed in emergency procedures; be assigned to, and understand, their specific roles, should an incident or emergency occur.**
- **The importance of testing these plans in the most practicable way.**

## **Appendix 8 Amusements**

### **KEY POINTS:**

- **During the planning stage, consider the type of amusements and attractions that will be present at the event**
- **Amusements and attractions may include fairgrounds, individual fairground rides, inflatable devices (e.g. bouncy castles), bungee jumping, fire-eaters, etc.**
- **Carefully choose the location of attractions to ensure the ground is suitable (probably best left to the controller/lessee, along with the layout plan, if there are multiple devices) but communication between the two parties would be advised.**
- **Check there is proper access for emergency vehicles**
- **Ensure the layout of attractions allows safe circulation of crowds**
- **Clearly define responsibilities for managing health and safety and identify roles under the Construction (Design and Management) Regulations 2015 (CDM)**
- **Event organisers should ensure that ride controllers inspect and maintain their equipment and comply with their duties as operators so that their rides can be run safely**

### **Common accidents include:**

- **operators falling from height when building or pulling down rides;**
- **poor maintenance, set-up or inspection of rides leading to injury, breakdowns or collapse, slack operating procedures, such as rides being run too fast, riders not being properly secured in the ride and height restrictions not being enforced;**
- **inadequate fencing of fast-moving rides;**
- **inadequate or absent rescue procedures to get riders off if the ride stops unexpectedly for any reason;**
- **inflatables not being effectively secured to the ground using pegs or suitable alternatives (e.g. water ballast, tying to other secure immovable objects).**
- **unchallenged inappropriate behaviour, such as riders standing up;**
- **ground conditions not being suitable for the devices and the ineffective packing/stabilising of devices;**
- **insufficient space for emergency vehicle access and public evacuation**

## Appendix 9 How do I develop a site plan?

First you need a map of the site. You may be able to find a suitable map online from Google Maps, <https://www.bing.com/maps?FORM=MMREDR>. You can design your site plan on paper or electronically, and you may find it helpful to do both. A paper version is easy to work on when on site and at meetings. Then you can produce an electronic version for your final site plan, which can be used by all the event organisers, participants and in the event programme. When designing your site plan, you could try out different layouts by using a large map and cut out icons to represent each activity or item of infrastructure. These will include things like:

- Staging
- PA system
- Toilets
- Crowd barriers
- Marquees and gazebos
- First aid tent
- Information tent
- Power points
- Parking
- Entrance and exit points

Go over the site plan with other people who will be working on your event and discuss what will work best. Think carefully about where your event's central point will be. This could be a staging area or an arena, and people should be able to hear event announcements here. You should also visit the site with the plan to make sure you are familiar with everything. You can carry out a preliminary assessment at the same time. The areas to consider will depend on your event, but will probably include:

- Entrance and exit points
- Emergency routes
- Central arena/staging area
- Audience space
- Stall area
- Parking
- Power points
- General safety of the site

You should update your risk assessment when you know what activities are taking place and where.

## Appendix 10 Event Risk Assessment

<b>Description of Activity</b>	<b>'Name of Event'</b> provide description of event to incl. point of contact/person organising the event; overview of event; target audience; use of 'providers' (both internal or external)		
<b>Location</b>			
<b>Completed by</b>			
<b>Date of Assessment</b>		<b>Review Date</b>	

What are the hazards?	Who & how might someone be harmed?	What are you currently doing to control risks?	Risk Rating L / M / H	What else do you need to do (if applicable)?	Action by who / when?	Date Completed
<p><b>Management of H&amp;S with clear responsibilities:</b>                      e.g. poor communication of responsibilities; unaware of hazards that could cause injury                      leave the organiser potentially negligent</p>	<p>Members of public                      Employees                      Volunteers                      Contractors</p> <p><i>Injury; property damage</i></p>	<p>Produce event plan describing how the event organiser intends to manage safety; identify who has what responsibilities and how these will be achieved</p> <p>Inclusion of contingency plan e.g. what if Event point of contact unwell; late delivery of resources; adverse weather etc.</p> <p>Confirm public liability insurance for the event</p> <p>If you hire equipment from external body/organisation (e.g. inflatable), it is the Event Organiser's responsibility to ensure that they have their own public liability insurance (also see below)</p> <p>A 'safety review team' should be formed to support planning and management of event. Two or three people may be sufficient for small events</p> <p>Event briefing in place; distributed to all staff or helpers involved</p>		<p>Ensure responsibilities are agreed, confirmed and communicated to all stakeholders</p> <p>Event documentation to be in place and accessible during the event</p> <p>If advice from CORPORATE HEALTH AND SAFETY team is required, provide event documentation minimum six weeks pre-event. <b>Note CORPORATE HEALTH AND SAFETY do not 'sign-off' on events; responsibility for the event rests with the Event Organiser.</b></p> <p>If applicable, ensure any applications for Licences are completed within specified timescales (refer to Commercial Health &amp; Safety and Licensing functions)</p>		

		De-brief to reflect on event and any 'lessons learned' for next time				
<p><b>Emergency Response:</b> e.g. delays in emergency response; obstructed exits; uncontrolled management / inadequate evacuation planning</p>	<p>Members of public Employees Volunteers Contractors</p> <p><i>Injury; deterioration in health; crowd crushing due to inadequate planning</i></p>	<p>Establish and confirm method of contacting emergency services; access to site; specifics of address etc.</p> <p>Establish how event attendees will be advised of emergency evacuation if required</p> <p>Event Organiser to ensure any third party organisations / contractors inducted to site and aware of emergency procedures</p> <p>All exits from event venue free from obstruction, clearly signposted</p>				
<p><b>Fire Safety</b> e.g. uncontrolled fire at cooking facilities; use of flammable sources (e.g. petrol / diesel)</p>	<p>Members of public Employees Volunteers Contractors</p> <p><i>Injury; property damage</i></p>	<p>Fire Risk Assessment (FRA) in place. Premises and fire-fighting equipment, fire detection, emergency routes and exits maintained and in efficient working order</p> <p>The use of petrol should be avoided at public events; diesel or electrical supply is preferable due to highly flammable nature of petrol</p> <p>All cooking-related activities should have adequate supervision</p> <p>Good housekeeping should be maintained throughout the event to minimise build-up of rubbish and sources of fuel</p>				
<p><b>Medical Emergency &amp; First Aid:</b> e.g. delay in first aid response</p>	<p>Members of public Employees Volunteers Contractors</p>	<p>Establish and confirm first aid arrangements e.g. numbers and location of first aiders</p>		Completion of Accident form for any accidents / near-miss events		

	<i>Injury; deterioration in health status</i>	Confirm method of contacting emergency services; access to site; specifics of address etc.					
Page 88	<p><b>Crowd Management</b> e.g. exceeding agreed numbers of attendees; crowd crushing; insufficient facilities</p>	<p>Members of public Employees Volunteers Contractors</p> <p><i>Injury; crowd crushing due to inadequate planning</i></p>	<p>Consider anticipated crowd capacity (refer to previous event data); ensure adequate welfare facilities</p> <p>Event Organiser to ensure agreed occupancy numbers are not exceeded</p> <p>Supervision of the event is adequate e.g. numbers of staff / stewards / volunteers etc. Determine means of communication and ensure system/process is working e.g. radios / PA system</p> <p>Ensure adequate entrance/exit routes; free from obstruction and clearly signposted. If barriers are required, consider design of venue to help support movement of crowd i.e. avoid pinch-points</p>		<p>Prior to event start, Event Organiser to conduct site walk-through. In general, ensure access / egress routes are unobstructed; free from slip/trips hazards</p> <p>Specifically, fire and emergency facilities:</p> <ul style="list-style-type: none"> <li>- All fire exits unlocked</li> <li>- Escape routes clear</li> <li>- Emergency lighting works</li> <li>- Fire-fighting equipment and alarms in working order</li> <li>- If using PA system, ensure it is audible in all areas of the event</li> </ul>		
	<p><b>Public Disorder</b> e.g. violence, aggression or antisocial behaviour</p>	<p>Members of public Employees Volunteers Contractors</p> <p><i>Physical or verbal assault</i></p>	<p>Where event requires, Security staff engaged</p> <p>Sufficient numbers of staff to run event available, deployed throughout site</p> <p>Event numbers are managed; clear signage for members of the public in terms of event access / queuing systems (for rides / games etc.).</p> <p>No alcohol served during event or served to those under the influence (if drinking is permitted)</p> <p>No glass at the event</p>				

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<p><b>Slips, Trips &amp; Falls</b> e.g. uneven ground or obstructions and debris in pedestrian areas / path routes</p>	<p>Members of public Employees Volunteers Contractors</p> <p><i>Slip, trip, fall injury</i></p>	<p>Event Organiser has carried out a pre-event visit to ensure location is suitable to host event</p> <p>Uneven or damaged surfaces appropriately highlighted; consider use of physical barrier / hazard tape until area</p> <p>Any contractor to ensure activities do not create slips / trip hazards e.g. ensure path routes remain free from obstruction; any spillages are cleaned etc.</p> <p>Working at height must be avoided wherever possible. If not, it must be subject to risk assessment, planned and organised. Any equipment used must be inspected and maintained and not create additional risk to members of public e.g. not accessible</p>		<p>As above, Event Organiser to conduct walk-through / visual inspection of event location</p>		
<p><b>Use of Contractors/Providers</b> <b>(note this includes both external or internal DBC services)</b> e.g. inadequate health and safety procedures which could introduce hazardous situations leading to injury; could leave the event organiser (DBC) potentially negligent</p>	<p>Members of public Employees Volunteers Contractors</p> <p><i>Injury; property damage</i></p>	<p>Request copies of contractor's health and safety policies, risk assessment, method statements and public liability insurance prior to engagement</p> <p>Request copies of risk assessments and method statements from contractors or subcontractors hired to support / build any event structures e.g. stages; marquees</p> <p>Where 'amusement rides' are included, the roles and responsibilities of the Event Organiser and Provider should be clearly defined (also refer to 'Equipment &amp; electrical failure' for statutory inspection requirements)</p> <p>If Young People are used to volunteer at the event, adequate adult supervision should be in place</p>				

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<p><b>Equipment &amp; Electrical Failure</b> e.g. injury to those working on/with equipment incl. potential collapse</p> <p>In risk assessment; state what equipment is being included e.g. fairground ride; who is the provider; who is in control of the ride (see below example)</p>	<p>Members of public Employees Volunteers Contractors</p> <p><i>Injury</i></p>	<p>Ensure equipment is maintained and in good working order</p> <p>For equipment that requires statutory inspections (e.g. inflatables, mobile climbing wall, fairground rides etc.), the Event Organiser is responsible for ensuring that they are provided with a copy of relevant inspection certification (ADIPS); public liability insurance and risk assessments prior to the event. <b><i>This is applicable for both external and internal (other DBC) providers of equipment</i></b></p>		<p>If appropriate documentation is not received or out-of-date etc. the equipment (e.g. inflatable, mobile climbing wall, fairground ride etc.) <b><i>are prohibited</i></b> from the event until all suitable and sufficient information is received.</p>		
<p><b>Bungee Run (Inflatable)</b> e.g. Injury due to equipment failure; poor management of inflatable etc.</p>	<p>Members of public Employees Volunteer Contractor</p> <p><i>Injury</i></p>	<p>Bungee Run inflatable is provided by XXXXX who are responsible for the set-up, management of the amusement and dismantling of the 'ride' XXXXX documents including ADIP inspection certificate; risk assessment; public liability insurance has been received and saved in shared Event Folder (reference)</p>		<p><b><i>Note, if you make reference to other documentation; this should be available / evidenced if requested e.g. by Fire Brigade; CORPORATE HEALTH AND SAFETY; HSE; audit purposes etc. (Applicable to any document reference)</i></b></p>		
<p><b>Vehicle Movement</b> e.g. car parking, deliveries to venue etc.</p>	<p>Members of public Employees Volunteers Contractors</p> <p><i>Injury; collision</i></p>	<p>Any designated parking areas clearly marked and in place; free from potholes, debris etc.</p> <p>External organisations advised of parking / restrictions etc.</p> <p>Speed limits to be clearly signed and adhered too</p> <p>Restrict / minimise any vehicle movement at the location during event</p>				
<p><b>Children &amp; Young Persons</b> e.g. inadequate supervision; Lost Children</p>	<p>Members of public Employees Volunteers Contractors</p>	<p>Event Organiser to determine site location is suitable for young persons</p> <p>Lost Child procedures to be in place and communicated to all event staff; reminded at pre-brief meeting</p>				

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	<i>Injury; distress if child becomes separated from parent/guardian</i>	If Young people are volunteering at the event, adequate supervision to be in place. No groups of under 16's to be working in an area without direct adult supervision				
<b>Physical Hazards at Event Site</b> e.g. drowning in lake; falling down steep slopes; gaining access to other parts of the building / venue that are not part of the event	Members of public Employees Volunteers Contractors  <i>Injury; property damage</i>	Event organiser to determine site location is suitable for the type of event.  <i>Do you need to consider how members of the public will access the site e.g. events held in Parks and open spaces may be close to main roads</i>				
<b>Manual Handling</b> e.g. moving and handling of equipment during set-up and dismantling of the event	Members of public Employees Volunteers Contractors  <i>Injury; property damage</i>	Avoid hazardous manual handling where possible. If it cannot be avoided, conduct a specific risk assessment; provide appropriate training and supervision  Employees / volunteers to be advised of handling activities and instructed to assess the load beforehand  Encourage regular breaks  Use individuals who have been trained in manual handling techniques or provide basic training beforehand if needed				
<b>Weather Issues</b> e.g. disruption to event activities due to weather conditions	Members of public Employees Volunteers Contractors  <i>Injury; dehydration; ill-health</i>	Event Organiser to cancel activity if the weather is extreme e.g. high wind, rain etc.  Amusement Provider is responsible for ensuring conditions are suitable to operate 'ride'  Event team to be advised of appropriate clothing e.g. warm clothing / footwear etc.				

		Provision of / access to adequate supply of water to prevent dehydration				
<b>Disposal of Waste:</b> e.g. build-up of waste attracting vermin; potential slip/trip hazard; fuel source for arson	Members of public Employees Volunteers Contractors  <i>Injury; ill-health</i>	Event plan includes arrangements for cleaning the site post-event; where necessary including removal of hazardous waste e.g. medical waste  Waste disposal bags/arrangements in place for addressing any immediate spillages or issues  Staff to wear appropriate Personal Protective clothing and Equipment (PPE)				

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Overall Residual Risk for Activity (L / M / H):

Level of Risk	Suggested Action
<b>LOW</b>	Control measures are adequate but continue to monitor and review; ensure that they remain satisfactory and appropriate
<b>MEDIUM</b>	Control measures need to be introduced within a specified time period; continue to monitor and review
<b>HIGH</b>	Unless control measures can be immediately introduced to reduce the risk so far as is reasonably practicable, the task or activity should be suspended



# CDM and the Management of Contractors

## Policy

<b>Author</b>	Rosherville Safety Solutions		
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# **1 PART ONE CONSTRUCTION DESIGN**

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## **1.1 INTRODUCTION**

Health and safety management systems must be in place to ensure the selection and monitoring of contractors is achieved. This Construction, Design and Management of Contractors policy is supported by the 'Contractor Site Health & Safety Induction Pack' and Corporate Health & Safety Policy.

All of which have been approved by the Corporate Health and Safety Committee to define the Council's policy for ensuring that all work involving contractors is safely managed by competent persons. The Council recognise the risk of poor management of contractors, including contractor selection and control, and are ultimately responsible for ensuring compliance with health and safety law.

It is noted that the New Build Housing Development Team have their own specific policy titled 'Management of Construction Risks - Control of Contractors', in addition to the corporate policies and guidance.

## **1.2 CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2015**

Construction and demolition activities carry significant risks and can be undertaken safely only by persons with appropriate knowledge, training and experience. It is The Council's policy that such work must be managed by suitably qualified and competent professionals.

The best method of meeting this standard of competence is to contract out construction work. CDM 2015 and Health and Safety legislation in general impose duties on clients commissioning work to exercise due diligence to ensure that their contractors work safely. The Council will have specific duty holder roles and responsibilities that fall under the CDM regulations.

The principles of the Council's policy for selecting and managing competent contractors are defined in this policy, which should be read in conjunction with the Council's Commissioning & Procurement Standing Orders. For advice on the selection of contractors and managing construction work generally, contact the Council's Building Services team located in Community Assets & Property Development for non-housing related works and the Planned Maintenance team located in the Property and Place for housing related works.

This policy is not a definitive explanation of the Construction (Design and Management) Regulations 2015. It is provided only to alert Council employees to the duties of clients commissioning construction or demolition work. All construction work must either be through Building Services for non-housing related work and Planned Maintenance for housing related work.

## **1.3 SCOPE OF CDM REGULATIONS**

Construction work is often misleading as many only consider construction as a large construction site, but construction work under the CDM 2015 regulations means the carrying out of any building, civil engineering or engineering construction work that includes;

- the construction, alteration, conversion, fitting out, commissioning, renovation, repair, upkeep, redecoration or other maintenance (including cleaning which involves the use of water or an abrasive at high pressure, or the use of corrosive or toxic substances), de-commissioning, demolition or dismantling of a structure;
- the preparation for an intended structure, including site clearance, exploration, investigation (but not site survey) and excavation (but not pre-construction archaeological investigations), and the clearance or preparation of the site or structure for use or occupation at its conclusion;
- the assembly on site of prefabricated elements to form a structure or the disassembly on site of the prefabricated elements which, immediately before such disassembly, formed a structure;
- the removal of a structure, or of any product or waste resulting from demolition or dismantling of a structure, or from disassembly of prefabricated elements which immediately before such disassembly formed such a structure;
- the installation, commissioning, maintenance, repair or removal of mechanical, electrical, gas, compressed air, hydraulic, telecommunications, computer or similar services which are normally fixed within or to a structure, but does not include the exploration for, or extraction of, mineral resources, or preparatory activities carried out at a place where such exploration or extraction is carried out;

The CDM Regulations apply to all building and construction projects and to all services utilising contractors to undertake any manner of work for the Council inclusive of work in properties, projects, people and the hiring of consultants, regardless of the size, duration and nature of the work including:

- All design work for the purposes of construction
- All demolition or dismantling of structures

A project is notifiable to the Health & Safety Executive (HSE) if the construction work on a construction site is scheduled to:

- last longer than working 30 days and have more than 20 workers working simultaneously at any point in the project; or
- exceed 500 person days

The definition of maintenance work from the CDM 2015 Regulation 2 (1) and ACOP L 153 Managing Health and Safety in Construction states; "The following are not construction work as defined: general maintenance of fixed plant, except when this is done as part of other construction work, or it involves substantial dismantling or alteration of fixed plant which is large enough to be a structure in its own right, for example structural alteration of a large silo; complex chemical plant; power station generator or large boiler"

A common-sense definition of construction work should be applied, along with a risk -based approach. If it looks like construction work, requires construction skills and uses construction materials, it probably is construction work. General maintenance of fixed plant which mainly involves mechanical adjustments, replacing parts or lubrication is unlikely to be construction work.

If the maintenance work is defined as construction work, and there is only one contractor, then no Principle Contractor (PC) or Principle Designer (PD) appointment is required. However, a

construction health and safety plan will be required. If more contractors are brought in, then a PC and PD need to be appointed for that particular project.

It is extremely important to note and understand that all construction work under CDM 2015 requires project planning, but the plan for smaller jobs should be simple, short and proportionate to the risks.

#### **1.4 DEFINITION OF DEMOLITION, DISMANTLING AND STRUCTURAL ALTERATION**

Demolition, dismantling and structural alteration are high-risk activities whose safe execution is both complex and technical and where expertise is vital. They require careful planning and execution by contractors who are competent in the full range of demolition techniques.

During demolition and dismantling, workers are often injured in falls from edges and through openings and fragile surfaces. Workers and passers-by can be injured by the premature and uncontrolled collapse of structures or parts of structures and by flying debris. Effective traffic management systems are essential to avoid workers being put at risk of being hit by slewing or reversing plant. Dust, noise and vibration are also significant problems that need to be considered and controlled when planning any demolition work.

The CDM Regulations apply to all demolition and dismantling work.

However, a project is only notifiable to the HSE when:

- The construction is scheduled to last longer than 30 working days, and it will have more than 20 workers working at the same time at any point in the building project,
- Or if the construction work has more than 500 person days.

A systematic approach to the demolition process starts with responsible clients who have a legal obligation to appoint adequately resourced and competent duty holders such as structural engineers, planning supervisors and principal contractors. It is vital that clients also fulfil their legal obligation to provide information about the structure to be demolished and this often means commissioning a pre-demolition structural survey from a structural engineer.

The expertise of a structural engineer must be used in the following cases:

- in the design of a façade retention scheme;
- where there is doubt over the building's stability;
- where there is doubt about the proposed method of demolition;
- where there is doubt about the capacity of the building to take loadings.

It is good practice to consult a structural engineer at the planning stage of demolition to avoid uncontrolled collapse.

The principal contractor, who may also be the demolition contractor, must be able to co-ordinate and manage the health and safety issues during the demolition works. References must be sought, and pertinent questions asked by the client to establish the credibility of the demolition contractor, especially if it is intended to appoint the demolition contractor as the principal contractor for the demolition phase of the work. A genuine and competent contractor will supply the name of the client for whom their last contract was carried out. They can be asked for information about the size and scale of the works, whether any problems were encountered, how the contractor performed and whether they would use the contractor again.

## 1.5 WHO HAS DUTIES?

The main purpose of the CDM Regulations is to improve the communication and co-ordination of health and safety arrangements by the multiple employers commonly involved in construction work.

The CDM 2015 Regulations are made under the Health and Safety at Work etc. Act 1974, so duties are imposed mainly on employers and the self-employed. However, in this context the CDM Regulations assign duties to six key parties who may be organisations or individuals.

These are:

- **Client** - any party for whom construction work is carried out
- **Designer** - any party commercially designing all or part of a structure
- **Principal designer** – party who plans, manages, co-ordinates health and safety in the pre-construction phase of the project
- **Principal contractor** - party with overall responsibility for co-ordinating health and safety during the construction phase of the project involving more than one contractor
- **Contractor** - any party commercially carrying out or managing construction work
- **Everyone** – CDM imposes duties on everyone involved in the project.

## 1.6 CLIENT DUTIES

The client's role is seen by the HSE as pivotal to setting the scene for goal setting and the client's expectations for construction safety management throughout the process. The client has a major influence over the way a project is procured and managed. Regardless of the size of the project, the client has contractual control, appoints designers and contractors and determines the money, the time and other resources available.

CDM 2015 sets out in Part 2 (Regulations 4 and 5), the client's duty to make suitable arrangements for managing a project, maintaining and reviewing these arrangements throughout and ensuring that the project is carried out in a way that manages the health and safety risks. For projects involving more than one contractor, these regulations require the client to appoint a principal designer and a principal contractor and make sure they carry out their duties. The Council by law, must provide pre-construction information from feasibility stage, to each designer (including the Principal Designer) and contractor (including the Principal Contractor) that is involved with a project, to fulfil the Client's duties under CDM 2015.

As a client the Council is required to;

- Ensure that suitable arrangements are made by them for managing a project, including the notification to the HSE or relevant enforcing authority and allocation of sufficient time and other resources.
  - Confirm that people and organisations appointed by them have the necessary skills, knowledge and experience to carry out the work in a way that secures health and safety.
  - Ensure that the construction work can be carried out, so far as is reasonably practicable, without risks to the health or safety of any person affected by the project.
  - Ensure that suitable welfare facilities are provided.
  - Provide pre-construction information to every designer and contractor appointed or being considered for appointment.

- Ensure that the contractor or Principal Contractor prepares a Construction Phase Plan before construction begins.
- Where applicable, formally appoint a Principal Designer and Principal Contractor as soon as is practicable and before the construction phase begins. (Note that these roles **default to the client** if no appointments are made).
- Ensure that the Principal Designer prepares a Health and Safety File (for projects involving more than one contractor)

## 1.7 DESIGNER DUTIES

Designers are required to;

- Confirm that the client is aware of the client's duties under CDM 2015.
- Eliminate hazards and reduce risks during design.
- Provide information about any residual risks to the Principal Designer and ensure that appropriate information is included in the health and safety file.
- Provide sufficient information about the design, construction or maintenance of the structure to adequately assist the client, other designers and contractors to comply with their duties under the regulations

## 1.8 PRINCIPLE DESIGNER DUTIES

The Principle Designer (PD) function where possible, should attach to an existing design appointment. The chosen appointee should be a designer who is best placed to control the design and planning stage. This is likely to be an architect on new build or refurbishment projects or an engineer on mechanical or electrically biased projects. Initially, many designers may be unfamiliar with the duties placed upon them when acting as a PD. In these circumstances the PD should be encouraged to seek the support of a CDM advisor role. A CDM advisory role may also be suitable to ensure continuity throughout the project where different architects will be appointed.

Key function of the PD is to ensure Fire, Health and Safety (FHS) implications of the project are given due consideration, foreseeable risks are identified, reduced where possible and communicated to allow the project to be built (or refurbished), used, operated, maintained (including cleaned) without undue risks. They must;

- Plan, manage and monitor the pre-construction phase and coordinate matters relating to health and safety during the pre-construction phase to ensure that, so far as is reasonably practicable, the project is carried out without risks to health or safety.
- Identify and eliminate or control, so far as is reasonably practicable, foreseeable health and safety risks.
- Ensure that all designers comply with their duties.
- Ensure that all persons working in relation to the pre-construction phase cooperate with the client, the principal designer and each other.
- Assist the client in the provision of the pre-construction information.
- Liaise with the Principal Contractor for the duration of the Principal Designer's appointment.
- Prepare the Health and Safety File and hand it over to the client at the end of the project, or to the Principal Contractor where the Principal Designer's appointment does not extend to the end of the project.

## 1.9 WHO SHOULD BE APPOINTED AS PD?

This depends upon the nature and complexity of the scheme. On larger schemes, the Council should look towards an existing designer who is best placed to lead and control the design and planning stage. On smaller schemes, this may be undertaken in-house (with or without support). Initially, designers may be unfamiliar with the duties and may need to be encouraged to seek the support of a CDM Advisor role.

In all cases the PD must as per Regulation 8 (1) of CDM 2015 have the skills, knowledge and experience, and, if they are an organisation, the organisational capability, necessary to fulfil the role that they are appointed to undertake, in a manner that secures the health and safety of any person affected by the project.

The PD should be a direct appointment by the Council, in circumstances where the designer acting as PD novates across to the contractor then the PD function should remain with that designer. However, to ensure independence, avoid potential conflicts of interest a CDM Advisor should be appointed as a monitoring role to ensure compliance with Regulation 4 (2)(b) (welfare), (6)(a)(b), PD & PC are complying with their duties and where applicable Regulation 5(3)(4).

## **1.10 ON SMALLER PROJECTS AND PLANNED WORKS**

There is no reason why on smaller projects that the role of Principal Designer (PD) cannot be undertaken by a member of Building Services or Planned Maintenance team or an external organisation. They must meet the competencies as detailed in regulation 8 and if an internal appointment this must be made formally by the person's manager once the assessment has been made and prior to the works commencing. This appointment can be made via e-mail.

When a project spans between Building Services or Planned Maintenance and another service area, for example a refurbishment works, then it will be agreed which department will nominate an individual to act as PD. This will depend on the planned works. An example would be a complete refit of IT equipment with the room having a coat of paint the PD would probably be better appointed from Building Services.

The PD is a primary duty holder of CDM 2015 and an integral part of a Design Team. The PD must be a designer on the project and be in a position to have control over the design and planning stage.

The PD needs:

- a technical knowledge of the construction industry, relevant to the project
- an understanding of how health and safety is managed through the design process the skills to be able to oversee health and safety during the pre-construction phase of the project and the ongoing design

If the PD function is completed by an internal resource e.g. Building Services, then they will be the duty holder. On larger schemes or those of an unusual nature or those presenting significant risks the Council will need to appoint externally. In these, circumstances the PD will be required to complete the PD functions in their entirety.

Ideally, the PD should have skills commensurable with the type of project under consideration i.e. an architectural background for building refurbishment projects, an engineering background on mechanical biased projects and electrical where works involve significant changes to electrical infrastructure. Whether internally or externally appointed the PD should be active at the all stages including feasibility, design, pre-construction, construction and handover of a project.

Note:

All appointments made whether internal or external must also be formally confirmed in writing. Where the appointment is not made in writing before the work commences then these roles and responsibilities fall back to the Council.

### **1.11 PRINCIPAL CONTRACTOR DUTIES**

A Principal Contractor must be appointed where there is more than one contractor working on a project. The Principle Contractor's duties are as follows:

- Plan, manage and monitor the construction phase and coordinate matters relating to health and safety during the pre-construction phase to ensure that, so far as is reasonably practicable, the project is carried out without risks to health or safety.
- Organise cooperation and coordination between contractors.
- Ensure that site inductions are provided.
- Ensure that necessary steps have been taken to prevent access by unauthorised persons to the construction site.
- Ensure that suitable welfare facilities are provided throughout the construction phase.
- Liaise with the Principal Designer for the duration of the Principal Designer's appointment and share with them relevant information.
- Where the Principal Designer's appointment does not extend to the end of the project, hand over the Health and Safety File to the client.

### **1.12 CONTRACTOR DUTIES**

Contractors are required to;

- Confirm that the client is aware of the client's duties under CDM 2015.
- Plan, manage and monitor their own work and that of their workers.
- Comply with directions given by the Principal Designer and the Principal Contractor (when such appointments apply).
- Prepare the Construction Phase Plan (where there is no Principal Contractor).
- Check that any appointee has, or is in the process of obtaining, the necessary skills, knowledge, training and experience.
- Provide each worker under their control with appropriate supervision, instructions and information.
- Not begin work on a construction site unless reasonable steps have been taken to prevent access by unauthorised persons to that site.
- Ensure that suitable welfare facilities are provided.
- Health and Safety File: A file appropriate to the characteristics of the project, containing relevant health and safety information to be taken into account during any subsequent project. The file is only required for projects involving more than one contractor.
- Construction phase plan: A plan which sets out the health and safety arrangements and site rules taking account, where necessary, of the industrial activities taking place on the construction site

### **1.13 EVERYONE**

More generally, CDM 2015 imposes duties as follows on everyone involved in the project to:

- Be able to demonstrate they have the necessary health and safety skills, knowledge and experience to carry out the work.
- Co-operate with others involved with the project or any project on an adjoining site.
- Report instances where they or others are working in a way that puts them or anyone else in danger.

- Where they are required to provide health and safety information or instructions to anyone else, to ensure that this is easy to understand and is provided in a timely manner.

## **2 MANAGEMENT OF CONTRACTORS**

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### **2.1 SCOPE OF MANAGEMENT OF CONTRACTORS**

It is applicable to all contractors working directly under the instruction and management of either DBC owned premises or DBC leased premises.

### **2.2 PURPOSE**

Health and safety management policies and guidance must be in place to ensure the selection and monitoring of contractors is achieved. The Council recognise the risk of poor contractor selection and control, and ultimately are responsible for ensuring compliance with health and safety legislation.

The purpose of the policy that details the Management of Contractors is to ensure that DBC meets its responsibilities in accordance with the following legislation;

- Health & Safety at Work Act 1974
- Management of Health & Safety Regulations 1999
- Construction (Design and Management) Regulations 2015

With respect to contractors/consultants. The policy ensures contractors and consultants, whether engaged or not on construction/maintenance work to perform their duties with due regard to occupational Health and Safety.

The policy deals with the necessary steps to be taken by an employee wishing to use a contractor at sites and deals with the control of that contractor whilst working.

The procurement of all works must be procured in compliance with the Council's Commissioning & Procurement Standing Orders, advice should be sought from the Council's procurement team.

It is intended that only approved contractors and consultants, who have met all the conditions of the approval procedure are permitted. To assist with the process there is a need to:

- ensure acceptance criteria with regard to the selection of contractors before the award of contracts is clearly stated;
- The requirement for pre-contract meetings are required;

- provide potential contractors with adequate and comprehensible information to enable them to comply with relevant statutory provisions is made explicit;
- Evidence of satisfactory health and safety performance to satisfy acceptance criteria including;
  1. Scrutiny of contractor's health and safety policy documents;
  2. Scrutiny of the contractor's accident performance;
  3. Scrutiny of the contractor's health and safety management system;
- The contractor is to hold regular meetings with the client to discuss health and safety issues
- Contractor plans or method statements/Construction Phase Plan to include the following;
  1. Competence of key individuals involved with the project or contract;
  2. Details of joint health and safety inspections or monitoring arrangements;
  3. A general description of the work comprised in the project or contract;
  4. Details of the time within which it is intended that the project and any stages will be completed;
  5. Details of the reasonably foreseeable risks to health and safety of any persons carrying out the work;
  6. Details of the reasonably foreseeable risks to health and safety of other persons not carrying out the work and likely to be affected;
  7. Any other information that all parties concerned may be reasonably expected to know in order to carry out the work required and to comply with any requirements placed upon the client and contractor;
  8. That joint health and safety inspections or other monitoring arrangements, take place and are completed within the allotted timescale.

## **2.3 PROCUREMENT**

The Council have produced a 3-stage approach;

1. Pre-procurement
2. Tender Process
3. Contract Period

A number of documents have been produced that support officers to ensure their projects comply with this procedure.

\*Procurement documents listed here? Y/N?

### **2.3.2 Pre-Procurement**

- Prior to the procurement process commencing, the client should (where appropriate) undertake open dialogue with the market to understand amongst other things the market's understanding of health & safety;
- During the commissioning period, the client must fully understand the Health & Safety implications of the Service or the Works that are being procured;
- The Health & Safety requirements (legislation, standards, standard operating procedures etc.) must be clearly stated and be included within the minimum requirements of the specification, and/or included within the evaluation criteria and included in the terms & conditions of contract;
- A Health & Safety checklist (appendix A) has been produced to support DBC staff (the client) to ensure that all relevant Health & Safety implications have been taken into consideration throughout the commissioning process;
- Tender templates are available for the appointment of a CDM Adviser if required.

- The client must also understand the Health & Safety responsibilities of the Council and the Contractor or Service Provider and ensure that the appropriate level of resource (experience, skill, awareness etc.) for all parties.

### **2.3.3 Tender Process**

- Update all Supplier Questionnaires (SQ) and Invitation to Tender (ITT) to include the new Health & Safety questions (based upon Pas91), which must be completed and submitted by Bidders. This will be evaluated by an appropriately experienced officer from the client (CDM Adviser).
- All lower value quotations for Works and Services will include a Contractors Health & Safety Questionnaire (based upon Pas91), which must be completed and submitted by Bidders. This will be evaluated by an appropriately experienced officer from the client (CDM Adviser).
- In addition submissions should include any specific Health & Safety evidence that demonstrates compliance with the minimum requirements part of the specification and provide responses to any Health & Safety questions that are included within the tender evaluation. This will be evaluated by an appropriately experienced officer from the client (CDM Adviser).

### **2.3.4 Contract Period**

- Where a project is notifiable under the CDM regulations (project that lasts longer than 30 days and has more than 20 workers, working simultaneously at any one point or exceeds 500 person days) then project will not commence until Procurement have received a copy of the signed F10 form. A central database needs to be kept by Procurement.
- A Health & Safety Site Inspection Report must be undertaken at regular intervals for all Works & Service contracts in accordance with the CDM Adviser.
- A Management of Construction Risks - Control of Contractors document must be undertaken for all Works & Service contracts in accordance with the CDM Adviser.
- Rocket to be used to monitor Health & Safety compliance on an ongoing basis. Questions on contracts to monitor – value/risk/complexity and Monitored monthly.

## **2.4 DEFINITIONS**

### **Contractor**

Any individual, firm, company or organisation that provides and receives payment for a service performed on or to the Council site and that affect the operations of the Council and is not a direct employee of the Council.

This includes consultants and consultancy work whether done on or off the site as well as installation contractors/ equipment suppliers and covers all services of the site; all engineering and building work, insurance, computer, procedure and inspection work, cleaners and waste removal work, etc. within any area under the control of the Council.

### **Site Contact or Nominated Deputy**

The person who arranges for contractors to come onto site and takes responsibility for them; including arrangements for induction and monitoring.

The responsibility of site contact can be delegated to another member of personnel by prior agreement (Nominated Deputy).

## 2.5 LEGAL DUTIES

The basic principles of the Council's policy for ensuring safe working with contractors are:

- In proportion to the degree of risk, find out enough about relevant legal duties and professional qualifications to define competence and performance standards.
- Assess contractor capability and select only those who meet these standards.
- Specify the standards in contract terms.
- Monitor compliance and intervene if the standards are not achieved.

It is permissible for volunteers to undertake work instead of contractors but the same competence and performance standards must be enforced. Since there is unlikely to be a formal contract safe working requirements should be communicated via a risk assessment.

The following statutory duties are particularly relevant to work involving contractors.

### **Health and Safety at Work etc. Act 1974**

- Section 2 - the **employer** must ensure, so far as is reasonably practicable, the health and safety at work of all his employees. This duty cannot be delegated to contractors.
- Section 3 - the **employer** must ensure, so far as is reasonably practicable, the health and safety of all non-employees (including contractors and volunteers) involved in his activities.
- Section 4 - **persons in control of premises** must ensure, so far as is reasonably practicable, that the premises are safe for non-employees working there.

The meaning of the expression so far as is reasonably practicable (HASAWA Sections 2, 3 and 4) are subject to the qualifying statement **so far as is reasonably practicable**. This expression is not defined in law but implies a balance between the degree of risk and the amount of resources devoted to overcoming it. Risks can always be reduced by funding additional control measures but if the advantage gained is insignificant when compared to the expenditure the action is not reasonably practicable. Priority should be given to controlling the most significant risks. Application of this principle requires subjective judgement and in order to demonstrate compliance the decision-making process needs to be retrievable. Only the courts can decide what is reasonably practicable in any given case.

Failure to comply with HSW74 is a criminal offence and charges may be brought against directors, managers and employees as well as a **body corporate**, (e.g. the Council). Employees complying or attempting to comply with the Council's Health and Safety Policy will have a defence against individual prosecution.

### **Management of Health and Safety at Work Regulations 1999**

Section 3 of the Health and Safety at Work etc. Act 1974 imposes general duties on employees and the self-employed to ensure the health and safety of non-employees. These are supplemented by specific requirements of the Management of Health and Safety at Work Regulations 1999 (MHSWR).

MHSWR Regulation 9(1) requires that where two or more employers share a workplace each employer must:

- Co-operate with the other employers to comply with health and safety law.
- Co-ordinate risk control arrangements.

MHSWR Regulation 9(2) stipulates that these duties must be applied to and by the self-employed as well as other employers.

The general co-operation and co-ordination duties in Regulation 9 are supplemented by specific requirements for information provision in Regulations 10 and 13. These place duties on the Council, other employers and the self-employed to make sure that comprehensible information about risks to health and safety and precautions to control them are communicated to all workers who are at risk. Where more than one employer is involved the regulations often place duties on **both** employers to communicate this information to ensure that its provision is not overlooked.

Regulations 10 and 13 refer to the following types of employer, employee and contract:

- **Employment business** - defined in Regulation 1(2) as a business which supplies its employees to work for and under the control of other persons (e.g. an employment agency).
- **Fixed-term contract of employment** - defined in Regulation 1(2) as a contract of employment for a specific term which is fixed in advance or which can be ascertained in advance by reference to some relevant circumstance.
- **Temporary worker** - indirectly defined by the title of Regulation 13 as an employee of an employment business or on a fixed-term contract.
- **Contractor** - not specifically defined by the regulations but interpreted for the purposes of DBC policy as an employer whose employees undertake work for the council but remain **under the control of the contractor**.
- **Self-employed person** - a person who attracts either or both of employer and employee duties under MHSWR depending on contractual arrangements which define who controls the work.

The communication requirements of this note generally refer to information which Council departments must provide to workers who are not Council employees. However, a Council employee working under the control of another employer would be owed similar duties by that employer.

## 2.6 RISKS TO THE HEALTH AND SAFETY OF NON-EMPLOYEES

Identified by risk assessments for operations controlled by Council managers must be communicated to:

- Temporary workers, contractors' employees and self-employed workers at risk.
- The employers of non-employees at risk

This duty applies to risks inherent to Council premises or created by Council activities rather than risks associated with work managed by the other employer(s) or self-employed worker(s). However, Regulation 8 requires such risks notified by other employers to be passed on to Council employees.

## 2.7 HEALTH AND SAFETY PRECAUTIONS

Taken to control the risks must be communicated to:

- Self-employed workers at risk.
- The **employers** of non-employees at risk.

It is DBC policy to provide information on safe working procedures directly to non-employees as well as their employers where this is desirable and reasonably practicable. In particular

temporary workers under the control of Council managers (e.g. agency staff) must be informed of relevant safety precautions.

## **2.8 SPECIAL OCCUPATIONAL QUALIFICATIONS OR SKILLS**

Necessary for safe working must be communicated to:

- Temporary workers.
- Employment agencies providing temporary workers.

In addition employment agencies must be told the specific features of jobs likely to affect the health and safety of their employees.

Health surveillance requirements must be notified to temporary workers affected.

The identity of competent persons implementing emergency procedures must be made known to:

- Self-employed workers at risk.
- Temporary workers at risk.
- Contractors' employees at risk.
- The employers of non-employees at risk.

It is DBC policy to ensure that all non-employees are given all the information they need about emergency procedures.

## **2.9 PRINCIPLES OF SHARED HEALTH AND SAFETY MANAGEMENT**

Different employers must co-operate with each other to ensure that health and safety arrangements:

- Cover all risks.
- Cover everybody at risk.
- Do not conflict.

Effective co-operation, co-ordination and management depends upon:

- Identifying and assessing foreseeable risks.
- Agreeing acceptable risk control measures.
- Agreeing which employer manages which control measures (ensuring no omissions),
- Agreeing competence standards for operators.
- Defining control measures and management responsibilities in written agreements (e.g. contracts).
- Communicating agreed controls and responsibilities to those who manage and undertake the work.
- Establishing mechanisms to monitor that agreed procedures are carried out.
- Establishing communication mechanisms to:
  - ❖ Resolve misunderstandings about agreed procedures.
  - ❖ Resolve non-compliance with agreements.
  - ❖ Agree controls for unforeseen risks.

## **2.10 INFORMATION FOR NON-EMPLOYEES**

Statutory duties for information provision are rather complex, the best way to ensure the health and safety of non-employees is to provide the following information directly to them:

- Emergency procedures.
- Identity of fire wardens, first aiders, etc.
- Safe working methods for activities controlled by Council managers.
- Correct contact(s) for further information.

This information should be provided as a verbal summary at the time of first attendance and backed up with documents as necessary.

## **2.11 TRAINING OF NON-EMPLOYEES**

Training is the responsibility of the employer. Particular care must therefore be taken to ensure that agency staff, self-employed workers, etc. are competent to operate safe working procedures when working under the control of Council managers. Standards of competence should be agreed and verified prior to commencement.

Agency staff and self-employed workers should be given the same information on safe working and emergency procedures as employees. Where training is necessary to support these procedures, it should be provided (e.g. induction training, fire drills, etc).

## **2.12 CONTRACTORS**

DBC policy on co-operation and co-ordination arrangements for contractors is defined within this policy.

## **2.13 SUPPLIER**

Someone who only supplies goods thus all others by definition must be contractors.

## **2.14 WORKER UNDER THE CONTROL OF THE ORGANISATION**

A Council employee, consultant or Council appointed contractor, working under the instruction of the Council as an organisation, who undertakes work-related activities under the control of the Council as a workplace. Note: organisations may also have a legal requirement for the health and safety of persons beyond the immediate workplace or those who are exposed to the workplace activities.

## **2.15 WORKPLACE**

Any physical location in which work-related activities are performed under the control of the organisation.

## **2.16 Contractor Approval**

Any individual wanting to use a new contractor must follow the Council's Commissioning & Procurement Standing Orders, the following related linked documents include;

- Contractor Health and Safety (Pre-Procurement, Tender Process)
- New Build Housing Management of Construction Risks (Specifically for new builds)
- Health and Safety CDM Site inspection list
- Process Map
- Pre-Procurement Clients Checklist
- Health and Safety questionnaire for contractors
- CDM advisor services Invitation to Quote/Tender.
- Contractor Induction Pack

The contractor will be requested to complete Contractors H&S Questionnaire and sign the Receipt of Contractor Site Health & Safety Induction Pack Form to confirm that they will conform to the guidelines issued and return the Council contact.

Through procurement, who use the contractor safety check systems of a 3<sup>rd</sup> Party Auditor, i.e. Pas91, CHAS Safe Contractor, EXCOR, Etc. will assess the proposed contractor on the following criteria and decide whether the Contractor will be approved or not.

- Experience in the work to be undertaken
- Specialist skills and qualifications
- Safety history and performance
- Health & Safety Policy and Statement
- Employers Liability Insurance, Public Liability Insurance and Professional Indemnity Insurance - the contractor must have Professional Indemnity Insurance if they are to carry out design elements of the works (D&B), but they must have Employers Liability (if they have no employees, this is not required) and Public Liability Insurance.

The indemnity levels of contractor's insurances MUST be (as a minimum) as follows.

- Public Liability – Minimum £5 million
- Employers Liability - Minimum £10 million
- Professional Indemnity - Minimum £2 Million
- Risk Assessments & Method Statements
- Statutory Inspection Certification for any contractor owned work equipment being bought onto site i.e. PAT testing certificates for electrical power tools.

Task specific Risk Assessments and Method Statements, which form the safe system of work, must be submitted to the Council client officer or Principle Contractor for review and approval prior to any approved contractor being permitted to carry out any work.

## **2.17 EMERGENCY CONTRACTOR PROCEDURE**

In the event of an emergency contractor being required, which maybe a very specialised subject/area/profession or an urgent health and safety concern/repair. Where possible, with careful planning, the use of such procedure should not arise but it is still considered a potential possibility. The Emergency Contractor Form is to be filled in by the person wishing to use the emergency contractor along with the Insurance Certificate & H&S Policy Statement of the suggested contractor as a minimum.

Once the form has been completed; the person wishing to use the emergency contractor must obtain the client officer's signature prior to the emergency contractor starting work. They must also be satisfied that the person(s) controlling the emergency contractor is competent to do so and that the contractor will be working safely to the Contractors Site Induction Pack.

The person wishing to use the emergency contractor must arrange a site induction via the Council contact/client officer and must be responsible for the delivery of any site induction if working on a client site. Contractors must work safely at all times and with the necessary permits if required.

## **2.18 MONITORING, PERFORMANCE AND REVIEW OF CONTRACTORS**

Contractor's performance with regard to health safety should be monitored in addition to monitoring quality of work and progress/supervision.

The frequency and depth of scrutiny of monitoring activities will be decided by the contract manager and will depend on the level of risk of operation and the contractor's experience of the site. The monitoring of contractors undertaking high risk activities should be more onerous than for low risk activities. The findings of monitoring activities should be reviewed and the information recorded for future reference.

Monitoring should be based on contractor's safety systems, risk assessments and method statements etc.

An annual review of the approved Contractors and their documentation should be undertaken to ensure that all documents are current and up to date with current legislation and to note any changes to the company i.e. their accident statistics.

## **2.19 ASSIGNING WORK TO A CONTRACTOR**

If a contractor is required to undertake work within the DBC site; task specific risk assessments and method statements must be requested from the contractor as part of the planning and as early as possible to prevent any hold ups.

These documents; which form the safe system of work, must be submitted to the DBC client officer/DBC contact for review prior to any approved or emergency Contractor being permitted to commence with any work.

## **2.20 PROCEDURE FOR THE CONTROL OF CONTRACTORS ON SITE**

### **Arrival on Site**

On arrival at site; the PC and their contractors must establish contact with the Council's contract manager who will then arrange for the site induction.

It is the responsibility of the individual arranging a contractor to come to a site to ensure that the contractor has a contact name and details of the area they will be working in. The contact name must be someone who is on site or available when the contractor arrives. (It is also essential that sub-contractors know the name of their main contractor if the sub-contractor is not an approved contractor in their own right). All Contractors will be required to sign into the site using the visitors' book. The individual who greets the contractor will be responsible to ensure that this is done.

## **Notification of Contractors Working at Council Sites**

It is essential that the Council are informed of a contractor's arrival on site each day to ensure that work is not started until the necessary permits, if required, are signed and the person responsible for the area is informed that work is being done in their area.

It is considered a serious safety offence for the PC and their contractors to do work unsafely and without any necessary permits and safe systems of work such that if a contractor is found to be working unsafely and without the necessary permit if required and safe systems of work, they will be asked to leave the site.

## **Induction**

A contractor attending the DBC office for the first time shall receive an induction to the site and procedures on their first day on site by the DBC nominee they have permitted to carry out the induction.

The only exception to this are contractors who do not require access to or will not be working within the building.

This induction must be refreshed annually so records must be inspected by the contract manager so that the date of the last induction is known.

The induction will be based around the DBC Contractor Site Health & Safety Induction Pack which the contract manager will issue a copy to the contractor and they will be provided with information of all known hazards and procedures relevant to the activity.

The contractor will be requested to sign the DBC Contractors Health & Safety Site Induction Pack to confirm that they have received the induction and the document and that they will conform to the guidance issued.

They will be reminded that they are only allowed in the permitted working area and any designated welfare area.

## **Emergency Procedures**

Although the approved contractor will have signed to indicate receipt of the Contractors Site Health & Safety Induction Pack; it is still the responsibility of the person undertaking the induction to ensure that all the contractors' operatives know the Company's Emergency Procedure and where to evacuate to in event of the fire alarm being activated to enable the contractors operatives to be accounted for in an emergency.

## **Prior to Work Being Started and Permits**

Risk Assessments and Method Statement shall be completed prior to work commencing as discussed above. In addition to this the Council have a duty to advise the contractor of any risks that they may be aware of in the areas they will be working and therefore must make the contractor aware. This may be advising them of other works taking place in the building or on the site that could impact on the work they are doing or may be affected by the work they are doing.

Where work is being done which is of a potentially hazardous nature, a "Permit to Work" must be obtained from the Council's contract manager before the contractor can start work each day.

The requirements for completing a "Permit to Work" are detailed in the Permit to Work procedure The Contractor Monitoring form will require completion with any permit to work.

Permits to work will be organised by the Council client officer. Contractors must inform the Council's contract manager of any high risk works such as hot works, working at height etc. prior to the work being carried out.

## **2.21 CONTRACTOR'S SITE INDUCTION PACK**

Every PC receives a copy of the Contractors Health & Safety Site Induction Pack at induction which they are requested to read and sign to say they have received this copy and agree to working to the safety guidance. They also sign to say it is their responsibility to ensure that their contractors will also work to the code of practice.

Any contractor's operatives who fail to comply with this code of practice will be asked to leave site.

### **Smoking**

It is a serious offence for anyone smoking or vaping within a "No Smoking Area" and the individual caught will be expected to be banned from the site.

### **Completion of Work**

On completion of work the contractor will inform the Site Contact/Nominated Deputy or the client officer so that the work area can be checked and that any necessary permit that was issued can be signed off.

### **Leaving Site**

On leaving the site; the contractor's operative will be required to sign the visitor's book to advise that he/she has left the site.

### **Storage of Completed Work Risk Assessment Sheets**

Completed Risk Assessments for work carried out by any contractor shall be stored in the relevant contractor safety files.

## **2.22 ROLES AND RESPONSIBILITIES**

3<sup>rd</sup> Party Auditors, such as PAS91, SSIP, CHAS, EXCOR, Safe Contractor. Etc. are responsible for vetting and approving appointed Contractors and ensuring that all Health & Safety documentation is monitored and regularly reviewed including insurance certificates.

The DBC Project Team/client officer/DBC contact are responsible for issuing and monitoring permits to work. They are also responsible for approving the use of emergency contractor requests. The Project Team/client officer/DBC contact shares responsibility with the person requesting the contractor to ensure that all contractors are inducted onto the site. They must also assess and approve Task Specific Risk Assessments and Method Statements submitted to the Site Contact or Nominated Deputy for work to be undertaken.

Site Contact or Nominated Deputy is responsible for ensuring that the client officer/main DBC contact are notified in advance of work commencing to ensure that a site induction is undertaken and that the contractor does not undertake any work without having an DBC site induction.

Contractor is responsible for answering all of the questions featured in the Contractors Health & Safety Questionnaire fully and truthfully and provide all requested documentation. They

have a responsibility to work safely and follow the guidelines issued by DBC during the induction process.

Employees – any employee requiring the use of a Contractor are responsible for issuing the proposed Contractor with the Contractors Health & Safety Questionnaire and ensuring that this is completed and returned to the 3<sup>rd</sup> Party Auditor along with any requested documentation.

They also have a responsibility whenever a Contractor is required to work on site and obtain the Risk Assessments and Method Statements relating to the task to be undertaken. They are prohibited from allowing any works to be carried out by any Contractor until the Contractors RAMS has been approved.

## **2.23 ASSOCIATED DOCUMENTS**

- Contractor Health and Safety (Pre-Procurement, Tender Process)
- New Build Housing Management of Construction Risks (Specifically for new builds)
- Health and Safety CDM Site inspection list
- Process Map
- Pre-Procurement Clients Checklist
- Health and Safety questionnaire for contractors
- CDM advisor services Invitation to Quote/Tender.
- Contractor Induction form
- Corporate Health and Safety Policy

## **2.24 LIST OF RELEVANT LEGISLATION**

Health and Safety at Work Act 1974  
Management of Health and Safety at Work Regulations 1999 (Amended)  
Construction Design and Management Regulation 2015  
Operational Estate: Building Compliance Guide

## **2.25 REVISION HISTORY**

Revision no.	Issue Date	Nature of Change
01	December 2018	Draft

2.26 APPENDIX A CLIENT CHECKLIST

<b>Client's Checklist</b>						
A checklist for						
Client's actions during a project is included below. Some actions may need to be repeated during a project. This list should be checked to ensure that it appropriately addresses the requirements of a project.						
<b>Client Checklist (for projects with more than one contractor)</b>	<b>Detail how this is evidenced (hyperlink or embed documents if needed)</b>					
1	Be aware of client duties under CDM					
2	Check if Principal Designer has capability and necessary skills, knowledge and experience					
3	Formerly appoint Principal Designer					

4	Check Designers have capability and necessary skills, knowledge and experience and appoint					
5	If project is notifiable, instruct Principal Designer to issue F10 notification and receive copy					
6	Issue Project Brief					
7	Establish arrangements for managing health and safety					
8	Prepare schedule of key activities					
9	Check project team resources					
10	Ascertain if health and safety advice is required					
11	Agree scope of work for health and safety advisor and appoint					
12	Issue existing pre-construction information to Principal Designer					
13	Identify additional pre-construction information required by project team					
14	Procure surveys to obtain additional pre-construction information (if required)					
15	Check Principal Designer is complying with his duties					
16	Check management arrangements are being maintained and reviewed					
17	Agree structure and content and number of copies (electronic/ hard) for Health and Safety file (HSF) with the Principal Designer					
18	Prepare shortlist of tenders for Principal Contractor					
19	Check that tenderers have capacity and necessary skills, knowledge, training and experience					
20	Appoint Principal Contractor					
21	Receive copy of updated F10 notification from Principal Designer					
22	Check initial Construction Phase Plan is adequately developed by Principal Contractor					
23	Check suitable welfare facilities will be provided					
24	Check Principal Contractor is complying with his duties					
25	Check arrangements for managing health and safety are adequate for the construction phase					
26	Receive feedback from health and safety advisor and implement changes if required					

27	If the Principal Designer's appointment is to conclude before the end of the project, ensure that the Principal Contractor prepares the Health & Safety File					
28	Receive Health and Safety File from the Principal Designer or the Principal Contractor					
29	Establish appropriate location for storage of Health & Safety File (hard and/ or electronic copy)					

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2.27 APPENDIX B

HEALTH AND SAFETY QUESTIONNAIRE FOR CONTRACTORS

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**Commissioning, Procurement & Compliance  
Dacorum Borough Council  
The Forum  
Marlowes  
Hemel Hempstead  
Hertfordshire  
HP1 1DN**

SECTION A – CONTACT DETAILS

Information Required	Description of information required;.	
Name of legal entity or sole-trader	Unique name of legal entity or name of individual	
Registered office address	Address line 1	
	Address line 2	
	Address line 3	
	Town	
	County	
	Post code	
Contact details for enquiries	Name	
	Job title	
	e-mail	
	Telephone number	
	Mobile Number	
	Address line 1	
	Address line 2	
	Address line 3	
	Town	
	County	
	Post code	
	Registration number if registered with Companies House or equivalent	Registration number with Companies House
Registration number with equivalent body		

## SECTION B – HEALTH & SAFETY POLICIES, PROCEDURES AND ACCREDITATIONS

- 1) Are you a member of Safety Scheme in Procurement (SSIP) or accredited by one of its registered members? Yes/No

Please see a list of the members at <http://SSIP.org.uk/members/>.

If the answer is yes to the above question then please move to question 6.

- 2) Please provide a copy of your current Health & Safety Policy and Procedures.
- 3) Please advise who your competent person is within your organisation under Management of Health & Safety regulations 1992 (as amended in 1999).

- 4) Please advise how your Health & Safety policies and procedures are conveyed to your workforce?
- 5) If relevant then please advise of the how you will manage Health & Safety for your sub-contractors.
- 6) Please provide your accident statistics for the last three years (including Major and Minor).
- 7) Please provide details below of any prosecutions or enforcement notices (Improvement or Prohibition) you have been subject to within the last 3 years? If you have then please provide details of action taken to ensure the incident does not occur again.
- 8) Are you a member of Constructionline? Yes/No. If yes then please provide a copy of your registration number.

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## SECTION C – THE WORKS

- 1) Please provide details of the work that will be carried out for the Council?
- 2) Please advise of the value of the works?
- 3) Is the project notifiable to the HSE? Please note that for the project to be notifiable then it needs to last longer than 30 working days and have more than 20 workers working at the same time at any point on the project or exceed 500 person days.

YES/NO

- 4) Please provide a method statement of how the works will be carried out?
- 5) Please advise if any of the works will be subcontracted? If so then please provide details of the company and advise how much of the works will be subcontracted?

For internal use only

Signed off by Group Manager

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## 2.26 APPENDIX C - APPOINTMENT OF THE PRINCIPAL CONTRACTOR\* UNDER THE CDM REGULATIONS 2015

1. In accordance with the requirements of Regulation 5(1) of The Construction, Design and Management Regulations 2015, in my role of Client, on behalf of the Head of Property, I hereby appoint *name of organisation* as Principal Contractor for the *name of project and site location*.
2. Would you please acknowledge receipt of this Letter of Appointment.

*Signed*  
*Name of Project Manager / Service Manager*

*Copy to:*  
*Appropriate Health and Safety Adviser*

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## 2.27 APPENDIX D - APPOINTMENT OF THE PRINCIPAL DESIGNER UNDER THE CDM REGULATIONS 2015

1. In accordance with the requirements of Regulation 5(1) of The Construction, Design and Management Regulations 2015, in my role of Client, on behalf of the

Head of Property, I hereby appoint *name of organisation* as Principal Designer for the *name of project and site location*.

2. Would you please acknowledge receipt of this Letter of Appointment.

*Signed*  
*Name of Project Manager / Service Manager*

Copy to:  
*Appropriate Health and Safety Adviser*

DRAFT

Clerk: Sharon Burr

## Strategic Planning and Environment Overview & Scrutiny Committee: Work Programme 2019-2020

***Scrutiny making a positive difference:*** Member led and independent, Overview & Scrutiny Committee promote service improvements, influence policy development & hold Executive to account for the benefit of the Community of Dacorum.

Meeting Date	Report Deadline	Items	Contact Details	Background information
28 Jan 20	20 Jan 20			
		Hemel Garden Town	Assistant Director for Planning, Development & Regeneration <a href="mailto:james.doe@dacorum.gov.uk">james.doe@dacorum.gov.uk</a>	
		Health and Safety	Corporate Health, Safety and Resilience Team Leader <a href="mailto:russell.ham@dacorum.gov.uk">russell.ham@dacorum.gov.uk</a>	
4 Feb 20	27 Jan 20	***** Joint Budget 2020-2021 <i>Ideally no further items to be added</i> *****		
17 March 20	09 March 20	Budget Monitoring Q3	Group Manager for Financial Services <a href="mailto:Fiona.jump@dacorum.gov.uk">Fiona.jump@dacorum.gov.uk</a> Assistant Director for Finance and Resources <a href="mailto:Nigel.howcutt@dacorum.gov.uk">Nigel.howcutt@dacorum.gov.uk</a>	<i>To review and scrutinise quarterly performance</i>
		Environmental Services Q3 Performance Report	Group Manager for Environmental Services <a href="mailto:craig.thorpe@dacorum.gov.uk">craig.thorpe@dacorum.gov.uk</a> Assistant Director for Neighbourhood Delivery <a href="mailto:david.austin@dacorum.gov.uk">david.austin@dacorum.gov.uk</a>	<i>To review and scrutinise quarterly performance</i>
		Environmental and Community Protection Q3 Performance Report	Group Manager for Environmental and Community Protection <a href="mailto:Emma.walker@dacorum.gov.uk">Emma.walker@dacorum.gov.uk</a> Assistant Director for Neighbourhood Delivery <a href="mailto:david.austin@dacorum.gov.uk">david.austin@dacorum.gov.uk</a>	<i>To review and scrutinise quarterly performance</i>
		Planning, Development and Regeneration Q3 Performance Report	Assistant Director for Planning, Development & Regeneration <a href="mailto:james.doe@dacorum.gov.uk">james.doe@dacorum.gov.uk</a>	<i>To review and scrutinise quarterly performance</i>
		Environmental Services Annual Review	Group Manager for Environmental Services <a href="mailto:craig.thorpe@dacorum.gov.uk">craig.thorpe@dacorum.gov.uk</a>	<i>To provide Committee with an update on initiatives in this area.</i>

		Environmental Enforcement	Group Manager for Environmental and Community Protection <a href="mailto:Emma.walker@dacorum.gov.uk">Emma.walker@dacorum.gov.uk</a>	<i>To seek views on progress relating to environmental enforcement including flytipping.</i>
<b>22 April 20</b>	<b>14 April 20</b>	Local Plan	Assistant Director for Planning, Development & Regeneration <a href="mailto:james.doe@dacorum.gov.uk">james.doe@dacorum.gov.uk</a>	

**Future items:**

- Planning Performance Agreement Service
- Tree Policy and Implementation
- The Bury Museum
- Commercial Waste
- Section 106 and CIL
- Environmental Management System