



Strategic Planning & Environment

Overview & Scrutiny

Agenda

TUESDAY 19 NOVEMBER 2019 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

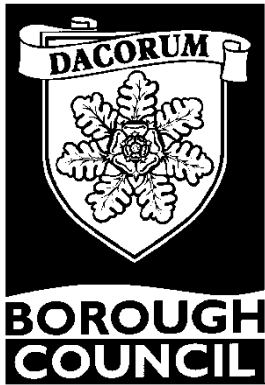
To receive any declarations of interest.

4. PUBLIC PARTICIPATION

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

6. BUDGET MONITORING Q2 (Pages 3 - 9)

7. **ENVIRONMENTAL SERVICES Q2 PERFORMANCE REPORT** (Pages 10 - 17)
8. **ENVIRONMENTAL AND COMMUNITY PROTECTION Q2 PERFORMANCE REPORT**
(Pages 18 - 26)
9. **PLANNING, DEVELOPMENT AND REGENERATION Q2 PERFORMANCE REPORT**
(Pages 27 - 32)
10. **WATER GARDENS** (Pages 33 - 37)
11. **HEALTH AND SAFETY** (Pages 38 - 127)
12. **WORK PROGRAMME** (Pages 128 - 129)



AGENDA ITEM: SUMMARY

Report for:	Strategic Planning and Environment Overview and Scrutiny Committee
Date of meeting:	19 November 2019
PART:	1
If Part II, reason:	

Title of report:	Budget Monitoring Quarter 2 2019/20
Contact:	Cllr Graeme Elliot, Portfolio Holder for Finance and Resources Nigel Howcutt, Assistant Director (Finance & Resources) Caroline Souto, Team Leader Financial Planning & Analysis
Purpose of report:	To provide details of the projected outturn for 2019/20 as at Quarter 2 for the: <ul style="list-style-type: none"> • General Fund • Capital Programme
Recommendations	That Committee note the financial position for the Council for 2019/20 as at Quarter 2.
Corporate objectives:	Delivering an efficient and modern council.
Implications:	<u>Financial</u> This report outlines the financial position for the Council for 2019/20 and so summarises the financial implications for service decisions expected to be made for the financial year. <u>Value for Money</u> Regular budget monitoring and reporting supports the effective use of the financial resources available to the Council.
Risk Implications	This reports outlines the financial position for the Council for 2019/20 and in so doing quantifies the financial risk associated with service decisions expected to be made for the financial year.
Community Impact Assessment	The content of this report does not require a Community Impact Assessment to be undertaken.
Health And Safety Implications	There are no Health and Safety implications arising from this report.

Consultees	The position reported within this report has been reviewed and discussed with relevant Council Officers.
Glossary of acronyms and any other abbreviations used in this report:	GF – General Fund HRA – Housing Revenue Account MRP – Minimum Revenue Provision

1. Introduction

1.1 The purpose of this report is to present the Council's forecast outturn for 2019/20 as at the 30 September 2019. The report covers the following budgets with associated appendices:

- General Fund - Appendix A. A pressure against budget of £126k is forecast.
- Strategic Planning and Environment Capital Programme - Appendix B. An in year underspend on capital budgets of £32k is forecast.

2. General Fund Revenue Account

2.1 The General Fund revenue account records the income and expenditure associated with all Council functions, except the management of the Council's own housing stock, which is accounted for within the Housing Revenue Account (HRA).

2.2 Appendix A provides an overview of the General Fund forecast outturn position. The forecast position includes areas of both under and overspend. There is a net overall pressure of £126k, less than 1% of the net cost of services budget.

The table below outlines the service areas with a significant financial pressure:

Table 1	Key Financial Pressure	Description
Scrutiny Committee		
Housing and Community	£195k	Garage Income
Strategic Planning and Environment	£130k	Fleet vehicle Maintenance
Strategic Planning and Environment	£105k	Planning
Strategic Planning and Environment	£90k	Commercial Waste Income

2.3 The table below provides an overview by Scrutiny area of the current forecast outturn for controllable budgets within the General Fund.

Table 2	Current Budget £000	Forecast Outturn £000	Variance	
			£000	%
Finance & Resources	16,382	16,394	12	(0.1%)
Strategic Planning and Environment	8,467	8,979	512	6.0%
Housing & Community	537	549	12	2.2%
Total Operating Cost	25,386	25,922	536	2.1%
Investment Property	(4,317)	(4,357)	(40)	0.9%
Core Funding	(21,070)	(21,440)	(370)	1.8%
Contribution (to)/ from General Fund Working Balance	(1)	125	126	

2.4 The following sections provide an analysis of the projected outturn and major budget variances shown by Scrutiny area.

2.5 Core Funding - £370k additional funding / reduction in expenditure

There is a combination of additional government grant income and a reduction in expenditure forecast to yield a benefit of £370k against core funding budgets. These include:

- Increased new burdens funding of £155k, including £100k relating to the Revenues and Benefits service. This funding is not ring-fenced for a specific use and has therefore been treated as core funding. In addition £35k of Brexit funding has been received in order to prepare for withdrawal from the European Union.
- The Minimum Revenue Provision (MRP) is a minimum amount which a Council must charge against its revenue budget each year for the financing of capital expenditure which has been initially funded by borrowing. The MRP is £165k lower than budgeted for 2019/20, resulting from below-budget capital expenditure in 2018/19.
- Investment Income is forecast to exceed budget by £80k as balances of cash reserves are higher than had been anticipated due to lower than budgeted capital expenditure.
- Additional income from the HRA of £50k. This arises from work on void garden clearances previously carried out by Osborne and now undertaken by Clean, Safe and Green. As such, there is no resulting additional cost to the HRA.
- Insurance recharges to the HRA will be reduced by £80k, arising from additional income from insurance charges payable by Leaseholders.

3. Strategic Planning and Environment

Table 3 Strategic Planning and Environment	Current Budget £000	Forecast Outturn £000	Variance	
			£000	%
Employees	10,334	10,635	301	2.9%
Premises	948	991	43	4.5%
Transport	1,187	1,372	185	15.6%
Supplies & Services	2,286	2,270	(16)	(0.7%)
Third-Parties	84	82	(2)	(2.4%)
Income	(6,164)	(6,164)	0	0
Earmarked Reserves	(208)	(208)	0	0.0%
Total	8,467	8,979	512	6.0%

4. Employees - £301k pressure against budget

The forecast pressure against employee budgets includes:

4.1 £180k additional staff and agency backfilling within Planning. The planning service have been very successful in driving new business and planning income as shown in paragraph 3.3, hence officers have had to be realigned to these new specific planning projects and additional short term agency staff have had to be recruited to backfill substantive posts. This has resulted in additional agency costs in backfilling these posts. The planning service are working on a short and medium term resource plan to reduce these issues going forward.

4.2 £70k in Waste Services due to current pressures on the service. New waste vehicles are due to be operational from November, however in the meantime non-availability of current split-bodied fleet is sometimes requiring additional separate rounds for co-mingled and food with the associated crews because replacement hire vehicles with a 70:30 split are not frequently available. This is also giving rise to a pressure in fuel costs of £50k.

4.3 Transport - £185k pressure against budget

A pressure of £135k relates to the maintenance of ageing fleet vehicles in Waste Services, including additional short term hire costs and repair costs. Fuel costs are also tracking above budget by £50k.

4.4 Income – no overall variance against budget

This budget line includes the forecast surplus on Planning fees of £75k, however this is being offset by a pressure of £90k relating to the Commercial Waste service, where income has been under budget due to the ongoing effect of loss of customers. A full review of the service including marketing and charging structure is currently underway. Resulting actions and financial benefits will be disclosed in future reports.

5. Capital Programme

5.1 Appendix B shows the projected capital outturn in detail by scheme.

The table below summarises the overall capital outturn position by Scrutiny committee area.

The current budget is the original budget approved by Cabinet in February 2019, plus approved amendments.

The 'rephasing' column refers to projects where expenditure is still expected to be incurred, but will now be in 2020/21 rather than 2019/20 ('slippage'), or conversely, where expenditure planned initially for 2020/21 has been incurred in 2019/20 ('accelerated spend').

The 'Variance' column refers to projects which are expected to come in under or over budget and projects which are no longer required.

Table 4	Current Budget	Rephasing	Revised Budget	Forecast Outturn	Variance	
	£000	£000	£000	£000	£000	%
Strategic Planning and Environment	4,648	0	4,648	4,616	(32)	(0.7%)

6. General Fund Major Variances

6.1 There is a forecast underspend of £32k against Strategic Planning and Environment capital schemes. This represents a variance of 0.7% against budget.

7. Conclusions and recommendations

7.1 As at Quarter 2 2019/20, there is a forecast pressure of £126k against General Fund budgets.

7.2 As at Quarter 2 2019/20, against Strategic Planning and Environment capital schemes, an underspend of £32k is forecast.

7.3 Members are asked to note the financial position for the Council for 2019/20 as at Quarter 2.



Dacorum Borough Council
Revenue Budget Monitoring Report for September 2019 (Cost of Services Analysis By Scrutiny Committee)

	<i>Month</i>			<i>Year-to-Date</i>			<i>Full Year</i>		
	Budget £000	Actuals £000	Variance £000	Budget £000	Actuals £000	Variance £000	Budget £000	Forecast Outturn £000	Variance £000
Cost of Services									
Finance and Resources	608	930	322	6,672	5,192	(1,480)	16,382	16,394	12
Housing and Community	23	(37)	(60)	463	(259)	(722)	537	549	12
Strategic Planning and Environment	403	1,172	769	4,517	4,761	244	8,467	8,979	512
Operational Costs	1,034	2,065	1,031	11,652	9,694	(1,958)	25,386	25,922	536
Other Items									
Investment Property	(34)	(90)	(56)	(3,163)	(3,063)	100	(4,317)	(4,357)	(40)
Investment Income	(16)	(135)	(119)	(94)	(269)	(175)	(188)	(268)	(80)
Interest Payments and MRP	81	0	(81)	485	237	(248)	970	805	(165)
Parish Precept Payments	0	0	0	816	816	0	816	816	0
Government Grants	(182)	(186)	(4)	(1,089)	(2,306)	(1,217)	(2,179)	(2,334)	(155)
Taxation (Council Tax and Business Rates)	(1,356)	23,481	24,837	(8,138)	(26,003)	(17,865)	(16,276)	(16,276)	0
Surplus / Deficit on Provision of Services	(1,507)	23,070	24,577	(11,183)	(30,588)	(19,405)	(21,174)	(21,614)	(440)
Transfers between Reserves / Funds									
Net Recharge to the HRA	(351)	(68)	283	(2,107)	(28)	2,079	(4,213)	(4,183)	30
Net Movement on General Fund Working Balance	(460)	25,067	25,527	544	(20,922)	(21,466)	(1)	125	126

CAPITAL PROGRAMME MONITORING STRATEGIC PLANNING AND ENVIRONMENT SCRUTINY COMMITTEE FOR SEPTEMBER 2019

APPENDIX B

Scheme	Budget Holder	Original Budget	Prior Year Slippage	In-Year Adjustments	Current Budget	YTD Spend	Projected Outturn	Forecast Slippage	Projected Over / (Under)	
General Fund										
Strategic Planning and Environment										
Environmental Services										
168	Wheeled Bins & Boxes for New Properties	Craig Thorpe	10,000	0	0	10,000	1,695	10,000	0	0
169	Waste & Recycling Service Improvements	Craig Thorpe	36,000	11,414	0	47,414	53,850	57,000	0	9,586
170	Commercial Waste Collection System	Craig Thorpe	0	1,700	0	1,700	7,500	7,500	0	5,800
172	Gadebridge Park - Renovation of White Bridge	Craig Thorpe	250,000	209,426	0	459,426	4,428	380,000	0	(79,426)
173	Cupid Green Waste Site Renovation	Craig Thorpe	100,000	0	0	100,000	0	120,000	0	20,000
174	Cupid Green Welfare Facilities	Craig Thorpe	90,000	0	0	90,000	0	90,000	0	0
175	Fleet Replacement Programme	Craig Thorpe	1,122,328	1,715,643	0	2,837,971	669,507	2,837,971	0	0
176	Fleet Services Renew Plant & Equipment	Craig Thorpe	46,500	155,000	60,000	261,500	0	261,500	0	0
177	Fleet Service Management System Upgrade	Craig Thorpe	34,000	(22,000)	0	12,000	275	24,000	0	12,000
			1,688,828	2,071,183	60,000	3,820,011	737,255	3,787,971	0	(32,040)
Strategic Planning and Regeneration										
181	Maylands Phase 1 Improvements	Chris Taylor	0	0	0	0	(13,844)	0	0	0
182	Urban Park/Education Centre (Durrants Lakes)	Chris Taylor	80,000	54,015	0	134,015	0	134,015	0	0
183	Maylands Business Centre	Chris Taylor	0	0	0	0	(9,645)	0	0	0
184	Town Centre Access Improvements	Chris Taylor	565,000	74,280	0	639,280	0	639,280	0	0
185	The Bury - Conversion into Museum and Gallery	Chris Taylor	0	55,000	0	55,000	0	55,000	0	0
			645,000	183,295	0	828,295	(23,489)	828,295	0	0
	Totals: Strategic Planning and Environment		2,333,828	2,254,478	60,000	4,648,306	713,766	4,616,266	0	(32,040)

Page 9



Agenda Item 7

Report for:	SPAE Overview & Scrutiny Committee
Date of meeting:	Tuesday 19 November 2019
PART:	1
If Part II, reason:	

Title of report:	Quarter 2 Performance 2019/20
Contact:	Councillor Alan Anderson, Portfolio Holder for Environmental Services Craig Thorpe, Group Manager, Environmental Services
Purpose of report:	1.To report on Quarter 2 performance
Recommendations	1.That the report be noted
Corporate objectives:	To provide a clean, safe and green environment
Implications:	<u>Financial</u> None as a result of this report
'Value For Money Implications'	<u>Value for Money</u> None as a result of this report.
Risk Implications	None as result of this report
Equalities Implications	N/A
Health and Safety Implications	None as a result of this report
Consultees:	Officers within Environmental Services
Background papers:	Corvu Report on Performance – Appendix 1 Waste Tonnages Appendix 2

Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i>	This report has been produced to provide an update to Members on performance against key objectives and an overview of progress on a number of ongoing projects
Glossary of acronyms and any other abbreviations used in this report:	CSG – Clean, Safe and Green T’s and W’s – Trees and Woodlands

Environmental Services Overview and Scrutiny Quarter 2 – Performance Review

Introduction

Environmental Services consists of the following:

Refuse and Recycling – Domestic and Commercial Waste Collections.

- Providing scheduled collections of waste and recycling materials from over 64,000 domestic properties and 800 commercial waste customers
- Collection of over 5000 “paid for” bulky collections per annum upon request
- **Waste Transfer Site – ISO 14001 compliant**
 - Storage and bulking of over 24,000 tonnes of recycling materials for onward processing
 - Separation, storage and disposal of hazardous waste including asbestos, dead animals, paints and flammables.
- **Clean, Safe and Green (CSG)**
 - Scheduled grass cutting on behalf of Herts County, Housing Landlord and on Dacorum owned land
 - Maintenance of hedges, shrub beds and some roundabouts
 - Maintenance of parks and open spaces including play equipment
 - Maintenance of sports pitches
 - Weed spraying
 - Clearance of fly tips
 - Removal of graffiti

- Removal and disposal of road kill
 - Management of Trees on behalf of Herts County, Housing, Dacorum owned land, parks and open spaces and woodlands
 - Management of Rights of Way and Countryside access
- **Educational Awareness**
 - Initiating campaigns to promote the waste hierarchy through school talks and other initiatives. Also undertakes anti littering campaigns with local residents and businesses.
 - Produces all artwork and literature for corporate articles and designs for vehicles
- **Fleet Management (Vehicle Repair Shop)**
 - Servicing and maintenance of all the Councils fleet of vehicles to ensure legal compliance with Road Transport Law and effective running of front line services.
- **Resources**
 - Recording and producing of key performance data such tonnages, reports from public and complaints.

Service Updates

- **Waste Services Operations**
 - New replacement Bartec in cab units have been received (17 new units) and. In addition new fleet is being supplied with new units as well (11 units).
 - Waste Site improvements are ongoing with new office cabin in place, and Alfa Blocks have been repositioned and repaired.
 - Application to the EA for update of our EWC codes has been approved after completing a lengthy application process.
 - Works commencing of VRS reception followed by improvements to welfare facilities including DDA compliant and female WC's and shower facilities.

Environmental Awareness

- Completed 1/5 blocks for the flats food waste recycling roll (~2500 properties per block) and on track to be complete by March 2020
- Blue-lidded bin sticker – the roll out of stickers is 2/3 of the way through – the roll out is being done as and when there are spare staff available
- Additional Garden Waste Subscription Service – over 800 subscriptions for 2019 (750 in 2018)
- Carried out targeted work for Refill Hertfordshire and now have around 150 Refill Stations in Dacorum, which makes up approx. half of all the Refill Stations in Dacorum.
- Held a reusables stall in town to promote both Refill Hertfordshire and Remember your Reusables campaign

- Held a stall in a supermarket for Recycle Week and ran a social media take over day. Launched a Terracycle crisp packet recycling point in the Forum to tie in with Recycle Week
 - Prepared for Sustainable Clothes Swaps events in October
 - Worked on putting the Waste Collection Calendar in the Digest instead of prepping for delivery
- **Clean, Safe and Green**
 - All troughs/hanging baskets removed
 - Summer bedding removed and beds prepared for winter bulbs
 - Grass/hedge cut on the A414 (Duel carriage way)
 - Green Flags awarded for Canal Fields Water Gardens and Tring
 - Splash Park now decommissioned. Maintenance work now starting
 - Model boat club now using Watergardens
 - Local Graffiti artist completed some work on Gadebridge /Canal Fields skate park
 - Scything course completed by Watergardens team to reduce use of hand tools
 - Wild Flower course completed
 - Warners End playing fields now secure access with installation of bollards to prevent traveller incursion. All completed in-house
- **Parks, Open Spaces, Trees and Woodlands**
 - Commenced both volunteer work programmes for Friends of Chipperfield Common and Bunkers Park. Received ecological reports for both sites as well, which show that our management is maintaining habitat diversity. We are working this year on restricting the growth of invasive species, such as laurel, and carefully increasing access to less used areas.
 - Carried out vegetation control work on rights of way and installation of new marker signs.
 - Agreed with PFH to inform all Cllrs of tree removal works within their respective Ward and the reason for removal.
- **Fleet Services**
 - The reception area is now built and operational.
 - The transport stores is up and running albeit in a restricted way because of the later building works
 - The workshop areas are being clear for the commencement of the workshop upgrades starting the 8th November
 - The fleet replacement plan is going well with all CSG compact sweepers now replaced as well as one large truck mount
 - New RCV's are due to start rolling in early November with rollout of training for crews and vehicle technicians planned over the coming weeks.

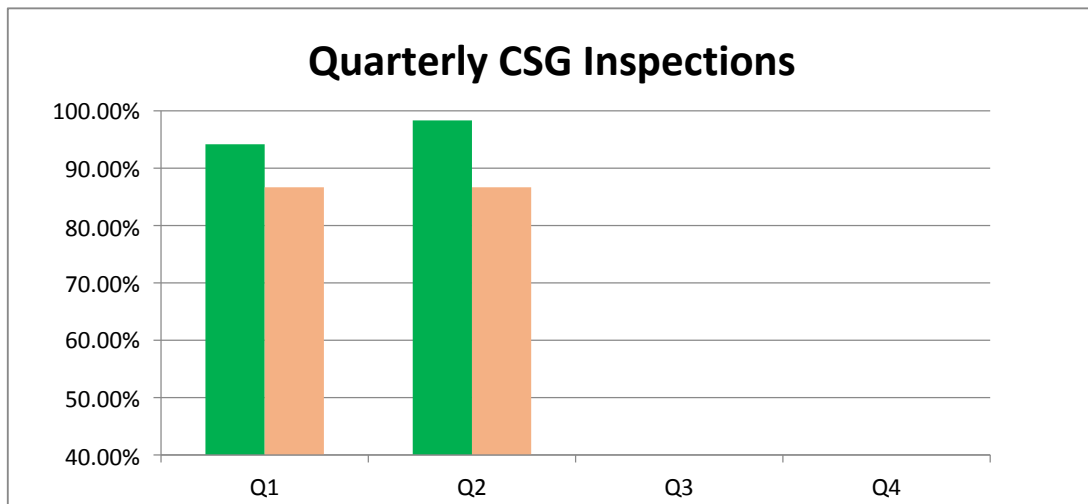
End

Quarterly Performance Report - by Group Manager			Reporting Period - September 2019		
Indicator Name	Indicator Owner	Updater & Secondary updater	Results Sep-19	Last Months Results Jun-19	Last Years Results Sep-18
Environmental Services					
Safe and Clean Environment - Maintain a clean and safe environment					
CSG01 - Percentage of dog fouling reports actioned within the set timescale of 7 days	Craig Thorpe	Shirley Hermitage Melanie Parr	97.05% 33/34 Target: 95	100% 52/52 Target: 95	100% 27/27 Target: 95
CSG01a - Number of dog fouling reports actioned within the set timescale of 7 days	Craig Thorpe	Shirley Hermitage Melanie Parr	33 Info Only	52 Info Only	27 Info Only
CSG02 - Percentage of fly tips collected within the set timescale of 7 days	Craig Thorpe	Shirley Hermitage Melanie Parr	99.03% 307/310 Target: 95	96.23% 281/292 Target: 95	95.34% 389/408 Target: 95
WR05 - Dry recycling Collected	Craig Thorpe	Shirley Hermitage Melanie Parr	3828.24, Tonnes Target: 3600	3456.47, Tonnes Target: 3600	3720.6, Tonnes Target: 3600
WR06 - Total tonnage of garden waste collected	Craig Thorpe	Shirley Hermitage Melanie Parr	3281.54 Tonnes Info Only	3700 Tonnes Info Only	2470.57 Tonnes Target: 3600
WR07 - Tonnage of food waste.	Craig Thorpe	Shirley Hermitage Melanie Parr	1096.06 Tonnes Target: 1020	1192.02 Tonnes Target: 1020	1130.02 Tonnes Target: 1020
WR08 - % change in commercial waste customers in the quarter	Craig Thorpe	Shirley Hermitage Vacant	No Data Info Only	No Data Info Only	No Data Info Only
CSG02a - Number of fly tips collected within the set timescale of 7 days	Craig Thorpe	Shirley Hermitage Melanie Parr	307 Info Only	281 Info Only	389 Info Only
CSG04a - % of litter area inspections graded A or B - Litter	Craig Thorpe	Shirley Hermitage Melanie Parr	100% 120/120 Info Only	100% 120/120 Info Only	100% 120/120 Info Only
CSG05a - Number of Graffiti removed from Dacorum Structures within 7 days	Craig Thorpe	Shirley Hermitage Melanie Parr	11 Info Only	33 Info Only	23 Info Only
WR01a - Justified Missed collections (Excluding Assisted Collections)	Craig Thorpe	Shirley Hermitage Melanie Parr	575 Bins Target: 750	587 Bins Target: 750	839 Bins Target: 750
WR03 - Number of justified missed assisted collections	Craig Thorpe	Shirley Hermitage Melanie Parr	181 Collections Target: 120	196 Collections Target: 120	133 Collections Target: 120

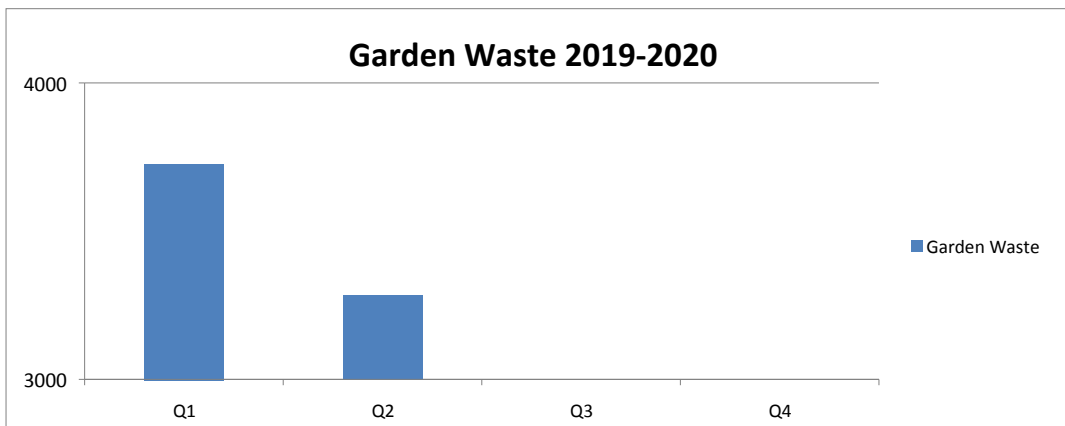
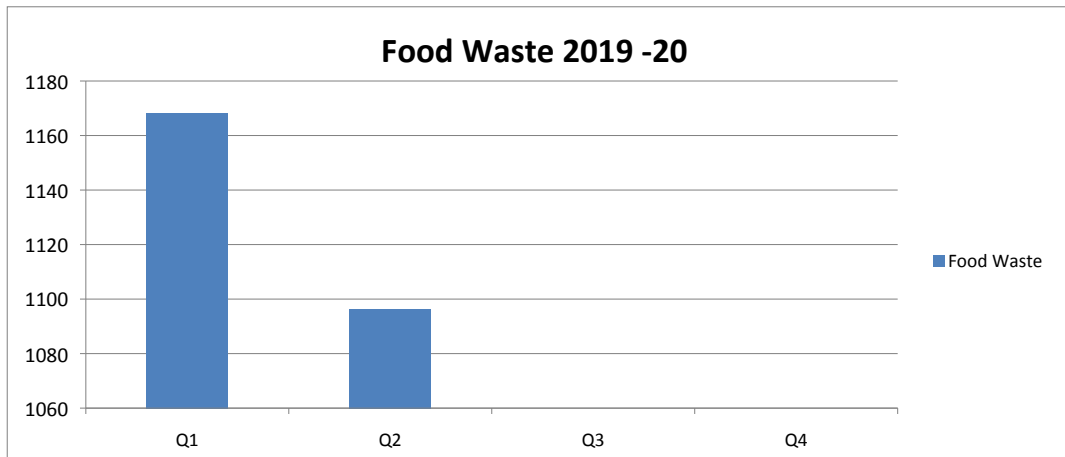
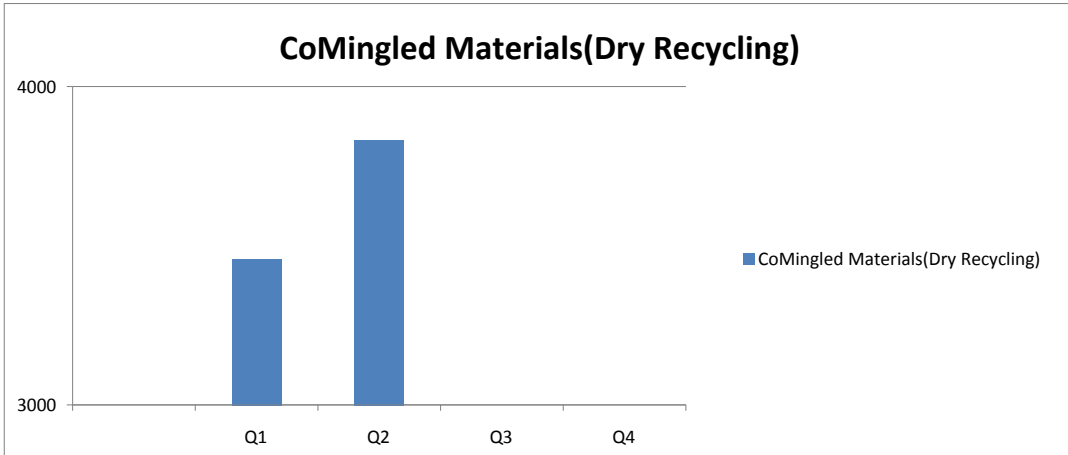
CSG Litter & Detritus Inspections 2019-20

Litter	Detritus	120 Inspections per quarter
Grade A+B	Grade A+B	
113	104	
118	104	

	Q1	Q2	Q3	Q4
Litter	94.17%	98.33%		
Detritus	86.67%	86.67%		



DBC Outgoing Weights / Rocket Data					
2019-20	CoMingled Materials(Dry Recycling)		Food Waste		Garden Waste
Q1	3456.47	Q1	1167.75	Q1	3724.27
Q2	3828.24	Q2	1096.06	Q2	3281.54
Q3		Q3		Q3	
Q4		Q4		Q4	



Agenda Item 8



Report for:	Strategic Planning and Environment Overview and Scrutiny Committee
Date of meeting:	19th November 2019
Part:	1
If Part II, reason:	

Title of report:	Q1- Performance Report for Environmental and Community Protection
Contact:	Julie Banks, Portfolio Holder for Community and Regulatory Services Author/Responsible Officer Emma Walker, Group Manager (Environmental and Community Protection) Bill Buckley, Interim Assistant Director (Neighbourhood Delivery)
Purpose of report:	To provide Members with the performance report for quarter 2 in relation to Environmental and Community Protection.
Recommendations	For Information only.
Corporate objectives:	Resources and Value For Money; Optimise Resources and Implement Best Practice.
Implications:	<u>Financial</u> None.
'Value for money' implications	<u>Value for money</u> Monitoring Performance supports the Council in achieving Value for Money for its citizens.
Risk implications	Risk Assessment completed for each service area as part of Service planning and reviewed quarterly. Key risks are recorded on the Council's Risk Register which has been Updated recently. The key risks relate to not achieving statutory targets and failing to protect the public/businesses from Environmental Health Risks : <ul style="list-style-type: none"> • If statutory targets are not achieved the service can be

	<p>Taken over and managed by the Government.</p> <ul style="list-style-type: none"> • Potentially the public & businesses put at risk • Legal action taken against the Council • Reputational damage to Council
Equality Impact Assessment	
Health and safety Implications	None
Consultees:	
Background papers:	Quarterly Performance Report – Quarter 2 (attached).
Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i>	
Glossary of acronyms and any other abbreviations used in this report:	

1. Background

1.1 For the purpose of this report, 'Environmental and Community Protection' includes the following services:

- Environmental Health Team (Food Safety, Health and Safety, Statutory Nuisances, Contaminated Land, Drainage, Private Water Supplies, Infectious Diseases, Air Quality Management, High Hedges)
- Operations Team (Public Health, Pest Control, Dog Warden Services)
- Corporate Health, Safety and Resilience Team (Internal Health and Safety Advice, Emergency Planning and Business Continuity).
- Anti-Social Behaviour and Environmental Enforcement Team (ASB, Fly-Tipping, Abandoned Vehicles, Graffiti).

2. Environmental and Community Protection – Q1 Performance Indicators

2.1 In Q1 the KPI was expanded to include A-D rated premises (previously A-C). This now includes all high risk food inspections, which is a better reflection of the team's proactive workload. This currently sits at 81% target is 95%. There have been problems with recruiting in this section, and following that issues with unreliable temporary staff. We have now

contracted out high risk food inspections to reliable contractors on a Pay per Inspection basis. Following the resignation of Monica Vitorino the number inspections that are contracted out have been increased whilst we attempt to recruit. Most Herts and Beds authorities are struggling to recruit Environmental Health Officers, the skills are often sought after by the private sector. The team has two trainee Environmental Health Officer posts and a newly appointed Graduate Environmental Health Officer to help act as feeder posts to the vacant Environmental Health Officer posts.

2.2 93% of Noise cases were closed within 60 days. The team have worked hard to ensure that the cases are dealt with as swiftly as possible.

2.3 82% of Food Premises are 4 or 5 rated in Dacorum, this shows the excellent compliance we achieve with Officers in the Food Team working with businesses to ensure high standards. It is the minority of food businesses that are non-compliant.

2.4 93% of Service requests are acknowledged within 3 working days.

2.5 80% of Fly-Tips were visited by an Enforcement Officer within 3 working. Officers have new ways of working and the database has been reconfigured to ensure this data is captured more easily. The new normal work stream is looking into mobile working for this team to prevent officers having to return to the office to update the database, this should make the team more efficient.

2.6 99% of Development Control Consultations with Environmental and Community Protection have a formal response within 20 working days. Significant work has been put into responding to planning enquiries.

2.7 31 Enforcement Actions were taken by the Environmental Enforcement Team in Q1. This has been amended from the previous KPI to include all actions not just Fixed Penalty Notices.

2.8 41 accidents occurred associated with DBC work activities in Q2.

2.9 There were 3 accidents associated with DBC work activity were reported to the HSE in Q2.

3. Environmental and Community Protection

3.1 40 Community Protection Warnings and Three Community Protection Notice relating to a range of behaviours have been served across the Council. This is following on from a piece of work carried out by the Enforcement Group to look at extending the use of Community Protection Notices beyond the Anti-Social Behaviour Team.

3.2 All teams within Environmental and Community Protection (with exception of the Corporate Health, Safety and Resilience Team) have used these to target specific problems in community that have historically been

problematic to resolve. Including, but not limited to certain types of noise complaints, fly-tipping on private land, pest infestations and dog fouling on private land.

3.3 The Enforcement Group drafted a protocol and arranged training for ECP, Planning enforcement, licensing and housing teams. The training was well received by officers and the Enforcement Group will be monitoring use of CPN's across the Council for consistency in approach.

3.4 A pilot has been launched for Tenants and Leaseholders to serve Community Protections Notices to attempt to take a swifter approach to resolving lower level issues within the Councils housing stock.

4. Environmental Health Team

4.1 There have been further staffing changes in the Environmental Health Team, Monica Vitorino has left the Council. Victoria Person has been appointed as Graduate Environmental Health Officer.

4.2 Enforcement Action Update,

- Eight Food Hygiene Improvement Notices served
- Four Health and Safety Improvement Notices served
- Two S20 Health and Safety request for information notices served.
- Four S60 Control of Pollution Act Notices Served, restricting noisy works
- One S61 Control of Pollution Act notice served allowing essential noisy works
- One simple caution accepting guilt of 10 food safety offences.
- One request for information relating to food investigation served.
- Six S80 Abatement Notices Served.

4.3 Tesco Stores pleaded guilty to breaching its duties under the Health and Safety at Work Act 1974 at Luton Magistrates' Court (Monday 11 March), case management hearing was on the 5th July. This was following an accident in the Jarmans store where a member of the public slipped on a wet floor. – Sentencing Hearing is due on 23rd and 24th January 2020.

4.4 Due to a shortage of Environmental Health Officers in the Food Section of the Team, all Environmental Health Officers undertook return to food regulation course in preparation for no-deal brexit. Emma Walker, Dawn Rhoden and Neil Polden are working towards re-instating food competency. This is due to the predicted increase in demand for export certificates. This training has taken approximately 40 hours per officer. This has also taken resource from the remaining food service to assess competency of the other staff.

5. Corporate, Health, Safety and Resilience Team

5.1 The Team attended the Leadership event to give update training on Health and Safety for Managers and the updated Emergency Plan.

Resilience training invites have been sent out to staff to attend training in Q3. This includes introduction to resilience and then targeted training on roles within the Emergency Plan.

5.2 Our Hertfordshire Council Council Partners undertook a Members training session on Emergency Planning.

5.3 The Team have provided chargeable Health and Safety advice to Herts Valley Clinical Commission Group. Health and Safety Management training will be provided to CCG staff.

5.4 Initial group meeting on “Fire, Legionella, Gas and Electrical (FLAG) held. The first meeting agreed the terms of reference and attendees. This will be a high level meeting to ensure compliance with the relevant policies, raise any issues, and ensure a joint working approach and to feed back into the Health, Safety & Resilience Committee meetings. The meeting will be held every 2 months to begin with and chaired by the Group Manager – Property and Place.

5.5 Corporate Business Continuity Plan full review undertaken by HCC Resilience Officer. Update plan was presented at the September 4th Health Safety & Resilience Committee, was approved at CMT on the 1st October 2019.

5.6 The following Health and Safety Policies were reviewed and discussed at September Health Safety and Resilience Committee:

- o Noise at Work
- o Electricity at Work
- o Work at Height
- o Portable Electrical Appliances
- o Whole Body Vibration

5.7 Hand Arm Vibration Case was concluded. £100K Fine, £38K Costs to be paid by the 1st October 2019.

6. Operations Team

6.1 Public Spaces Protection Order (Dog Control) was launched at the end of the July, plans were put in place to educate members of the public in Q2. The Team attended Fun in the Sun Events, sessions at Pets at Home, Community Safety Day and provided publications for community centres.

6.2 3 Public Health Act Notices served on a Filthy and Verminous council property in Tring, Bullace Close, Hemel and The Denes Hemel. Works in default were carried out to the property in Tring to ensure the necessary works were completed to ensure the health and safety of the tenant and their close neighbours.

6.3 21 stray dogs, 16 returned to owner, 5 not claimed

6.4 Dog Warden has now passed Pest Control Qualification to enable more resilience in the operations Team.

6.5 2 Prevention of Damage by Pests Act Notices served in Church St, Hemel Hempstead and Ceammes Meadow, Hemel Hempstead.

6.6 Pest Control Officers have attended update Health and Safety training in Hand Arm Vibration and Working at Height.

6.7 Lead Animal Welfare and Public Health Officer completed part 1 Professional Programme in Inspecting Licensable Activities Involving Animals

7. Anti-Social Behaviour and Environmental Enforcement Team

7.1 A full Closure Order was successfully acquired against a property in Adeyfield on the 5th July for serious nuisance/criminality at the premise. This was following a 6 month partial closure order in order to engage with support services to assist the tenant to change her behaviour. The tenant then forfeited the tenancy and the property has been re-let.


7.2 The team have deployed the covert cameras and attended them on 16 occasions to either change over batteries, re site the cameras or to check on any developments. This effort has led to several leads on Fly-tipping cases. Options are being considered to purchase more cameras to enable us to monitor in situations where it is difficult to deploy our current kit.


7.3 Environmental Enforcement Officers attended both Stoneycroft and Henry Wells Square bring sites with the CSG on Monday and Friday morning each week in Q2. To monitor the recycling points for fly-tipping and littering.


7.4 Environmental Enforcement Officers served two S77 (1) Criminal Justice and Public Order Act 1994 Notices for illegal encampments in July 2019. These notices were compiled with.

7.5 Four Fixed Penalty Notices were served for Fly-tipping in Q2. One in Flamstead, three in the Hemel Hempstead Area.

OSC Report - Strategic Planning & Environment - Neighbourhood Delivery Sep-2019

Indicator Name	Results Sep-2019	Last Quarters Results Jun-19	Last Years Results Sep-18	RAG 	Comments	Actions
Dacorum Delivers - Performance excellence						
ECP09 - Percentage of high risk (A-D) food inspections/interventions achieved within the Quarter.	81.67% 49 / 60 Target: 95	90.38% 94 / 104 Target: 95		1 1 0	Approver Comments: Staffing in the team is low and staff have prioritised preparations for Brexit. Details are unclear but we have got extra members of the team food competent as importing and exporting of food stuffs may be disrupted as a result of Brexit.	No Info
Safe and Clean Environment - Maintain a clean and safe environment						
WR03 - Number of justified missed assisted collections	181 Collections Target: 120	196 Collections Target: 120	133 Collections Target: 120	2 1 1	No Comments	No Info
ECP07 - Number of Environmental Enforcement Actions (PACE Interviews, Informal Letters, CPNs, FPN's, Simple Cautions and Prosecutions)	31 Info Only	52 Info Only	No Data Info Only		No Comments	No Info
WR01a - Justified Missed collections (Excluding Assisted Collections)	575 Bins Target: 750	587 Bins Target: 750	839 Bins Target: 750	0 0 4	Approver Comments: Approved	No Info
CSG01a - Number of dog fouling reports actioned within the set timescale of 7 days	33 Info Only	52 Info Only	27 Info Only		Approver Comments: Approved	No Info
CSG02a - Number of fly tips collected within the set timescale of 7 days	307 Info Only	281 Info Only	389 Info Only		Approver Comments: Approved	No Info

Indicator Name	Results Sep-2019	Last Quarters Results Jun-19	Last Years Results Sep-18	RAG 	Comments	Actions
CSG01 - Percentage of dog fouling reports actioned within the set timescale of 7 days	97.06% 33 / 34 Target: 95	100% 52 / 52 Target: 95	100% 27 / 27 Target: 95	0 0 4	Approver Comments: Approved	No Info
CSG02 - Percentage of fly tips collected within the set timescale of 7 days	99.03% 307 / 310 Target: 95	96.23% 281 / 292 Target: 95	95.34% 389 / 408 Target: 95	0 0 4	Approver Comments: 3 x reports took over 7 days to complete.	No Info
CSG04a - % of litter area inspections graded A or B - Litter	100% 120 / 120 Info Only	100% 120 / 120 Info Only	100% 120 / 120 Info Only		Approver Comments: Litter = 98.33% Grade A&B / Detritus = 86.67% Grade A&B No controlled sweeps carried out for this quarter.	No Info
ECP05 - Percentage of Fly tips reported assessed by an Enforcement Officer within 3 working days	80.28% 639 / 796 Target: 0.9	76.6% 576 / 752 Target: 0.9	41.49% 334 / 805 Target: 90	0 0 4	No Comments	No Info
ECP06 - Development Control Consultations to ECP with a first formal response within 20 days.	99.12% 113 / 114 Target: 0.9	96.33% 105 / 109 Target: 0.9	91.72% 155 / 169 Target: 90	0 0 4	No Comments	No Info
ECP01 - Percentage of Noise Nuisance cases closed within 60 days	93.06% 67 / 72 Target: 0.85	84.75% 50 / 59 Target: 0.85	90.41% 66 / 73 Target: 85	0 0 4	No Comments	No Info
ECP02 - Percentage of registered food premises that have a rating of 4 or 5.	82.82% 1340 / 1618 Target: 0.9	83.65% 1335 / 1596 Target: 0.9	85.58% 1318 / 1540 Target: 90	0 0 4	No Comments	No Info
ECP03 - Percentage of ECP Service Requests responded to within target.	93.76% 1126 / 1201 Target: 0.95	93.73% 852 / 909 Target: 0.95	90.65% 1251 / 1380 Target: 95	0 0 4	No Comments	No Info

Indicator Name	Results Sep-2019	Last Quarters Results Jun-19	Last Years Results Sep-18	RAG 	Comments	Actions
WR08 - % change in commercial waste customers in the quarter	No Data Info Only	No Data Info Only	No Data Info Only		Approver Comments: Approved	No Info
HS02 - Accidents / incidents that are notifiable to the HSE under RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013) This includes occupational diseases	3 Info Only	0 Info Only	1 Info Only		No Comments	No Info
HS01 - All reported accidents/incidents (Including those required to be reported to the HSE)	41 Info Only	45 Info Only	33 Info Only		No Comments	No Info
WR06 - Total tonnage of garden waste collected	3281.54 Tonnes Info Only	3700 Tonnes Info Only	2470.57 Tonnes Target: 3600	1 0 1	Approver Comments: Approved	No Info
WR07 - Tonnage of food waste.	1096.06 Tonnes Target: 1020	1192.02 Tonnes Target: 1020	1130.02 Tonnes Target: 1020		Approver Comments: Approved	No Info
WR05 - Dry recycling Collected	3828.24, Tonnes Target: 3600	3456.47, Tonnes Target: 3600	3720.6, Tonnes Target: 3600	0 2 2	Approver Comments: Approved	No Info



Report for:	Strategic Planning and Environment Overview and Scrutiny Committee
Date of meeting:	19 November 2019
Part:	1
If Part II, reason:	

Title of report:	Planning, Development and Regeneration Quarter 2 Performance Report 2019-20
Contact:	Cllr Graham Sutton, Portfolio Holder for Planning and Infrastructure Author/Responsible Officer: James Doe, Assistant Director – Planning, Development and Regeneration
Purpose of report:	To set out the performance outturn for the service for Quarter 2 of 2019-20
Recommendations	That the report is noted.
Corporate objectives:	All Corporate Objectives are relevant with this annual review of service performance.
Implications:	<u>Financial</u> None arising from decisions on this report though the financial indicators for Planning fees and Local Land Charges report an under recovery of income against target levels.
'Value for money' implications	<u>Value for money</u> None arising from this report.
Risk implications	Risk register currently under review.
Community Impact	Not applicable for this report.

Assessment	
Health and safety Implications	Not applicable for this report.
Consultees:	Mark Gaynor, Corporate Director Housing and Regeneration Chris Taylor, Group Manager Strategic Planning and Regeneration Sara Whelan, Group Manager Development Management and Planning
Background papers:	Performance report (appendix 1)
Glossary of acronyms and any other abbreviations used in this report:	None.

Executive Summary

1. This report presents the performance outturn for the Planning, Development and Regeneration service for the second quarter of the business year 2019-20. The full performance report is at Appendix 1.
2. Of 17 indicators, eight are running at green; four at red, two at amber and three are for information only.

Key Issues

3. The main exceptions to good performance are in the areas of income for Planning fees and Land Charges. The proportion of planning refusals being challenged through appeals remains high, and a high proportion of appeals have been allowed this quarter.

Income

4. Planning fees income (FIN 16). This remains below trajectory at the end of Q2, but the position is improving. In terms of receipts of fees, this is just under £99k short of target with half of the business year gone, equating to 83% of expected fees received. At Q1, with only three months of the year gone, the shortfall was £80k and the proportion of expected fees running at just under 73%.
5. As explained in the Q1 report to the Committee, the projected income for the rest of the financial year has been modelled, and currently Officers are still forecasting income to exceed the annual target, by around £75k.

6. Land Charges Income (FIN17). Income remains at 86% of expected receipts, up slightly from the 85% achieved by the end of Q1. Actual income was £16k short of trajectory, with market uncertainty continuing to impact on property transactions.

Planning Enforcement

7. Planning Enforcement cases visited (PE01-03). Overall, performance in the enforcement service has been strong, and has improved since Q1. Priority 1 and 3 visits ran at 100% within target times, with Priority 2 cases at 94%, up from 90% in Q1.


Planning Appeals


8. Planning appeals dismissed (DMP30). This indicator is now at red, with only 52% of appeals dismissed (in other words, won by the Council) against the target of 70%. This indicator was running at Amber in Q1, with 66% of appeals dismissed by Planning Inspectors.
9. Twelve appeals were dismissed in Q2 out of a total of 23 cases, though two of the total were not ruled on due to either withdrawal or being considered as null. Taking these two discontinued cases into account, nine appeals were therefore allowed by Planning Inspectors.
10. Three of these nine allowed appeals were against conditions attached to planning permissions. A further three related to works to domestic properties, one for agricultural development involving polytunnels and a barn at Bourne End, one for a conversion of a building to four residential units in Hemel Hempstead, and the last (sixth) related to an application for the installation of Solar Panels to a property at Hastoe.
11. The spread of cases is therefore quite wide, and it will be important to reflect on the issues raised by the Inspectors in these cases to help improve performance in the future.
12. Members will also note, for information, that more decisions are being challenged by the Council – in this quarter it was 50% of all applications that were refused. The number of appeals considered in Q2, at 23, was up considerably from the 15 cases in Q1.


Performance successes

13. Determination times for planning applications all remain comfortably above target and very good performance for major proposals was returned in Q2, with 14 out of 15 cases (93%) determined within time (DMP04). Validation performance (DMP08) remains strong at 76% of applications validated within three working days. Over £1million was collected in CIL receipts (SPR20).

OSC Report - Strategic Planning & Environment - Planning, Development and Regeneration Sep-2019

Indicator Name	Results Sep-2019	Last Quarters Results Jun-19	Last Years Results Sep-18	RAG 	Comments	Actions
Dacorum Delivers - Efficiencies						
DMP05 - Percentage of minor applications determined within 8 weeks	85.71% 78 / 91 Target: 70	79.8% 79 / 99 Target: 70	77.11% 64 / 83 Target: 65	0 0 4	No Comments	No Info
DMP06 - Percentage of other applications determined within 8 weeks	83.73% 211 / 252 Target: 80	85.81% 248 / 289 Target: 80	92.76% 269 / 290 Target: 80	0 0 4	No Comments No Comments	No Info
FIN15 - Building Control Income ytd actual against profiled budget	£288467 Target: 298590	£148821 Target: 149295	£259858 Target: 298555	2 2 0	Updater Comments: Noted - service due to transfer to Herts BC imminently.	No Info
FIN16 - Planning Fees ytd actual against profiled budget	£478378 Target: 577000	£209438 Target: 288500	£743444 Target: 521790	2 0 2	No Comments	Income streams being kept under close review each month.
FIN17 - Search Fees ytd actual against profiled budget	£98984 Target: 115500	£49297 Target: 57750	£115183 Target: 145500	4 0 0	Updater Comments: reflects subdued nature of local housing market.	income levels being kept under review. may be upswing if economic uncertainty ends.
Dacorum Delivers - Performance excellence						
DMP03 - Percentage of planning application refusals appealed against	50% 14 / 28 Target: 35	50% 23 / 46 Target: 35		2 0 0	Updater Comments: The figure is not an accurate reflection of percentage of appeals lodged against refusals within same quarter as those lodged may well be against refusals from previous quarter. Approver Comments: Noted will now keep track on how many appeals allowed	No Info

Indicator Name	Results Sep-2019	Last Quarters Results Jun-19	Last Years Results Sep-18	RAG 	Comments	Actions
DMP04 - Percentage of major applications determined within 13 weeks (YTD)	93.33% 14 / 15 Target: 60	55.56% 5 / 9 Target: 60	75% 6 / 8 Target: 60	0 1 3	Updater Comments: Target met with use of Extension of time agreements Approver Comments: Noted use of Extension of Time	No Info
DMP07 - Percentage of planning applications refused	5.93% 28 / 472 Target: 10	6.38% 46 / 721 Target: 10	5.69% 32 / 562 Target: 10	0 0 4	No Comments Approver Comments: Noted and may be due to removing Extension of Time and not accepting amended plans on refusable schemes	No Info
DMP08 - Percentage of planning applications validated within 3 working days	76% 476 / 625 Target: 70	80% 564 / 706 Target: 70	80% 590 / 733 Target: 70	0 0 4	Updater Comments: good result No Comments	No Info
PE01 - Percentage of priority 1 enforcement cases visited within 1 working day	100% 7 / 7 Target: 100	100% 4 / 4 Target: 100	100% 4 / 4 Target: 100	1 0 3	Updater Comments: 6 priority 1 cases received in September - all sites visited within the required 1 working day. Approver Comments: Good result	No Info
PE02 - Percentage of priority 2 enforcement cases visited within 10 working days	93.9% 62 / 66 Target: 100	90.2% 46 / 51 Info Only	94.6% 88 / 93 Info Only	1 1 0	Updater Comments: A large caseload and at a time of staff movement as well as the move to the new Uniform software system. To hit 94% is an excellent achievement. Approver Comments: Good result considering staff turnover	No Info
PE03 - Percentage of priority 3 enforcement cases visited within 15 working days	100% 64 / 64 Target: 100	98.9% 94 / 95 Target: 100	100% 73 / 73 Target: 100	0 2 2	Updater Comments: Very good performance from the team in hitting 100% despite of staff changes and high caseload. Approver Comments: Great result	No Info

Indicator Name	Results Sep-2019	Last Quarters Results Jun-19	Last Years Results Sep-18	RAG 	Comments	Actions
LC04 - Average time taken to process an official Local Land Charges search	7.74 Days Target: 10	6.95 Days Target: 10	6.94 Days Target: 10	0 0 4	Updater Comments: The turnaround has increased over this quarter. Last Quarter was 6.95 No Comments	No Info
DMP30 - Appeals dismissed	52.17% 12 / 23 Target: 70	66.67% 10 / 15 Target: 70	68.75% 11 / 16 Target: 70	1 1 2	Approver Comments: Noted that allowed appeals relate to conditions	No Info
Dacorum Delivers - Value for money						
SPR20 - Level of CIL receipts	1051122 Info Only	388339 Info Only	353908 Info Only		No Comments	No Info
Regeneration - Deliver a Regeneration Plan for Dacorum						
SPR05 - Number of new homes completed	60 Homes Info Only	82 Homes Info Only	69 Homes Info Only		Updater Comments: Low level of completions. these are down nationally at the current time.	No Info
DMP02 - Number of planning applications received	628 Applications Info Only	694 Applications Info Only	664 Applications Info Only		No Comments Approver Comments: Noted a little down on last year but not much	No Info



Report for:	Strategic Planning & Environment Overview and Scrutiny Committee
Date of meeting:	19th November 2019
Part:	1
If Part II, reason:	

Title of report:	Jellicoe Water Gardens Project - end of project evaluation
Contact:	Cllr Graham Sutton, Portfolio Holder for Planning and Infrastructure Responsible Officer: James Doe, Assistant Director, Planning, Development & Regeneration Authors: Claire Covington, Strategic Planning and Regeneration Officer
Purpose of report:	To update members on the impact of the Jellicoe Water Gardens restoration project.
Recommendations	That the report be noted.
Period for post project review	This report provides the end of project evaluation now that the period of HLF support for the Water Gardens restoration is drawing to a close.
Corporate objectives:	<u>Building Community Capacity</u> The restoration project has created opportunities for community involvement, activities and volunteering in the Water Gardens, building community capacity and pride in the area. <u>Ensuring Economic Growth and Prosperity</u> The Water Gardens provide vital open space for Hemel Hempstead town centre. Their restoration has created a unique and attractive environment which will encourage businesses, visitors, residents and shoppers into the town centre.

	<p><u>A Safe, Clean and Enjoyable Environment</u></p> <p>The restoration works have improved the quality and facilities of the Gardens to create a destination green space for residents and visitors in the town centre. The Heritage Lottery Fund grant includes contributions towards staffing and maintenance costs to ensure the Gardens are kept to a high standard.</p>
<p>Implications:</p> <p>'Value for money' implications</p>	<p><u>Financial</u></p> <p>None arising from this report – revenue costs are contained within current budgets.</p> <p><u>Value for money</u></p> <p>Through the Heritage Lottery Fund's Parks for People programme the Water Gardens has been able to lever in grant funding to support the restoration project, including staffing, maintenance and activity costs.</p> <p>The programme allows a cash value to be attributed to volunteer hours.</p>
Risk implications	The Water Gardens project risk assessment was reviewed monthly up to December 2018 when the construction project was closed. Risk assessments are prepared for each event and activity taking place in the Water Gardens.
Community Impact Assessment	A Community Impact Assessment was undertaken for the Jellicoe Water Gardens project in August 2014.
Health and safety Implications	None arising from this report
Consultees:	<p>Mark Gaynor, Corporate Director (Housing and Regeneration)</p> <p>Craig Thorpe, Group Manager (Environmental Services)</p> <p>Simon Coultas, Operations Manager (Clean, Safe and Green)</p> <p>Rob Cassidy, Parks and Open Spaces Officer</p>
Background papers:	Cabinet Report: Jellicoe Water Gardens Restoration, July 2014
Glossary of acronyms and any other abbreviations used in this report:	<p>DBC – Dacorum Borough Council</p> <p>HLF – Heritage Lottery Fund</p>

Introduction

- 1.1 In July 2014 The Heritage Lottery Fund/BIG Lottery Fund announced that DBC had been awarded £2.4 million towards a £3.6 million project to restore the historic Water Gardens in Hemel Hempstead town centre.
- 1.2 The project aimed to deliver:
 - Restoration of the historic fabric within the Gardens including bridges, balconies, riverbank treatment and flower garden terrace widening
 - Environmental enhancements through the introduction of fish passes at each of the four weirs within the Gardens, removal of silt from the watercourse and wildfowl management
 - Provision of a new community building in the northern section of the Gardens set within a growing and display bed area
 - Relocation of play provision to the Water Gardens (South) car park through an extension to the flower garden area
 - Re-planting of soft landscaped areas, to be in keeping with Susan Jellicoe's original design aesthetic through the flower garden and Lovers' Walk
 - Removal of later additions to the Gardens including tree planting along Waterhouse Street and the two islands in the lake, plus the addition of a greening system to the decked car park to reduce the impact of the structure.
- 1.3 In August 2015, site clearance commenced, followed by main construction works lasting 22 months. The completion of the restoration was celebrated at a Big Garden Party in July 2017, attended by the Lord-Lieutenant of Hertfordshire, Lady Verulam, and the Mayor of Dacorum.
- 1.4 In addition to the main capital works, funding was provided towards revenue costs associated with staffing, maintenance and activities for a five year period, to support delivery of the Parks for People's five outcomes:
 - Increasing the range of audiences
 - Conserving and improving the heritage value
 - Increasing the range of volunteers
 - Improving skills and knowledge through training
 - Improved management and maintenance.
- 1.5 The programme requires monitoring and evaluation to be undertaken throughout delivery and its overall impact detailed in a final report. The Water Gardens end of project date is currently 30th November 2019.

Impact

- 2.1 The quality of the restoration has been recognised nationally. In 2017 DBC and the project's landscape architects HTP Design LLP, won the Landscape Institute Award for Heritage and Conservation for 'the preservation and conservation of a significant mid-20th century design', with the project being described as 'groundbreaking'. In 2018, the Gardens obtained Green Flag status and this has been retained. The Gardens were also a Regional Finalist in the 2019 Pro-Tem and Civic Trust Awards. More recently this November they were shortlisted as a finalist in the 2019 Landscape Institute Award in the Excellence through Planting and Horticulture category, recognising both the planting design and the high standard of maintenance achieved by Clean, Safe and Green.

- 2.2 Following the restoration the Water Gardens are now enjoyed and appreciated much more by the local community. In the 2019 visitor survey, 92.2% of respondents agreed that the overall changes were very positive and 87.1% were satisfied with the Gardens, a significant increase from the 2013 result, when 25.1% were satisfied.
- 2.3 In applying Parks for People HLF programme, DBC made an ongoing commitment to maintain the Water Gardens to a high standard. This was supported by the HLF with funding towards a lead gardener and seasonal operative from 2017, supported from 2018 onwards by an apprentice gardener, studying for Level 2 City and Guild qualification in Horticulture. In the 2019 visitor survey, 76% of respondents had noticed improvements in maintenance and cleanliness, with additional comments made that they were 'lovely, clean and beautifully kept' and 'they're so well looked after'. In 2018 and 2019 the Water Gardens achieved the Green Flag award, the national standard for parks and green spaces in England and Wales. Under the terms of the programme, the HLF expects the Gardens to achieve the Green Flag award for seven consecutive years on completion of the capital works.
- 2.4 The HLF award provides funding towards a part time Community Engagement Officer to deliver initiatives to support the community outcomes of the Parks for People programme and the Friends of the Jellicoe Water Gardens. This role commenced in 2013 during the development phase and has continued throughout the project.
- 2.5 The work undertaken over the past six years to build community involvement and a diverse audience for the Water Gardens through a programme of activities and events is now being realised. Over 500 people attended a garden party in June and a summer school holiday children's miniature gardening activity was oversubscribed, despite 40 places being offered. The project also enabled dementia sufferers to visit the community garden and take part in horticultural activities, a group with high care needs who would otherwise not be able to access the Gardens. The health and wellbeing benefits of these sessions remained with participants when they returned to their care home.
- 2.7 The full impact of this work, and the restoration project, has been captured in the end of project monitoring and evaluation report prepared by Community First Partnership. Key findings will be presented to Strategic Planning and Environment Overview and Scrutiny Committee by Adrian Spray. A presentation, and two short films, will also be shown at the meeting.

Sustainability

- 3.1 The focus on delivering activities and building community involvement in the Water Gardens has absorbed staff time, and as a result, resources have not been available to develop a strategy for the long-term sustainability of the community programme once the project comes to the close. Officers have raised this issue with the HLF, highlighting areas where further work is needed to ensure the Friends have the volunteers, training and fundraising skills to continue their activities and community programme; volunteers are recruited to work with Clean, Safe and Green and support the high standard of maintenance in the Gardens; and specialist sessions such as the dementia gardening can continue through additional external funding. A

request has been made to the HLF for the Community Engagement Officer post to continue to be supported for a further four months to work on these areas.

3.2 The HLF has indicated their willingness to extend the end of project date from 30th November 2019 to 31st March 2020 and continue to provide 68% of the costs associated with the Community Engagement Officer during this period. This can be accommodated within the overall HLF project costs of £3.6 million from underspends in other areas.

3.3 This additional project time will focus on the following activities:

- recruiting more volunteers to the Friends of the Jellicoe Water Gardens,
- seeking sponsorship and corporate volunteers,
- searching for funding to support the delivery of future activities, particularly targeting health and well-being initiatives,
- promoting the Water Gardens and education resource pack to targeted local schools,
- business support for the dementia gardening session provider and investigating funding opportunities for this activity to continue,
- training for the Friends of the Jellicoe Water Gardens and volunteer roles to build skills in order for the group to become more effective and self-sustaining.

Agenda Item 11



Report for:	Strategic Planning and Environment Overview and Scrutiny Committee
Date of meeting:	19th November 2019
Part:	1
If Part II, reason:	

Title of report:	Health & Safety - Events Policy
Contact:	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
Purpose of report:	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
Recommendations	That Overview and Scrutiny consider and formally approve the policies
Corporate objectives:	To comply with current H&S legislation and Implement Best Practice.
Implications:	<u>Financial</u> None.
'Value for money' implications	<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 This report seeks to increase our compliance with
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 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 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.
- 2.2 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.

- 2.3 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.
- 2.4 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 as defined within the Policy. 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.

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		
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Contents

PART ONE INTRODUCTION	2
1.0 Definition of Event.....	3
1.2 Type of Event.....	4
1.3 Scope.....	4
1.4 Objectives.....	5
1.5 Benefits.....	5
PART TWO: PROCESSING AN EVENT	6
2A External events.....	6
2B Internal events.....	7
PART THREE: ROLES AND RESPONSIBILITIES	9
3.0 Clear lines of responsibility.....	9
3.1 Dacorum Safety Advisory Group (DSAG).....	9
3.2 Event Organiser.....	10
3.3 Corporate Health and Safety.....	10
3.4 Environmental Health - within Environmental & Community Protection Department (ECP).....	11
3.5 Team Leaders.....	11
3.6 Group Managers.....	11
3.7 Role of the event organiser and their obligations.....	12
PART FOUR: PLANNING YOUR EVENT	12
4.0 Safety.....	12
4.1 Submitting an event proposal.....	15
4.1a Submitting an internal event proposal.....	15
4.1b Submitting an external event proposal.....	15
4.2 Location.....	15
4.3 Audience.....	16
4.4 Risk Management.....	16
4.5 Know your event.....	17
4.6 Documentation.....	20
4.7 Managing the phases of an event.....	21
4.8 Contractor selection and management.....	21
4.9 Information, instruction and training.....	22
4.10 Competency.....	23
4.11 Supervision.....	23
4.12 Monitoring.....	23
4.13 Regulatory compliance.....	24
4.14 Environment.....	25
4.15 Noise.....	25
4.17 Traffic and highways management.....	26
4.18 Licensable activities.....	27
4.19 Food Safety.....	28

4.20	Waste and recycling	28
4.21	Public conveniences and welfare facilities	28
4.22	Sharing Information	28
4.23	Planning permissions and advertisement consent	29
4.24	Parks and open spaces	29
Appendix 1	Internal Events Notification form	30
Appendix 3	Health and Safety Information for “Running” and “Jogging” Events	37
Appendix 4	Temporary event notice and Premises Licence criteria	40
Appendix 5	Related legislation	44
Appendix 6	The Event Toolkit	45
Appendix 7	Emergency Preparedness	46
Appendix 8	Amusements	47
Appendix 9	How do I develop a site plan?	48
Appendix 10	Event Risk Assessment	49

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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

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. For events in the Town Centre contact 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 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, licenses, 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 a minimum of;

- 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 maybe 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, CHS require notification a minimum of;

- 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 3rd 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 3rd 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:

Plan	<p><i>Event Planning</i></p> <ul style="list-style-type: none"> ▪ When is the event; where will it be held; what is its purpose and who is it aimed at? ▪ 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 ▪ How will you manage fire and other emergency situations e.g. specific ride safety; lost child procedures? ▪ Are you going to engage external providers? How will they be selected? ▪ Will there be support from other DBC internal service areas such as Corporate Health and Safety? ▪ Have you left enough time to notify CHS or Environmental Health with EC&P (Environmental & Community Protection)/Licensing/Completion of notification form etc?
Do	<p><i>Identify your risk profile</i></p> <ul style="list-style-type: none"> ▪ Identify risks associated with your event ▪ Complete risk assessments ▪ Collate information from external or internal providers e.g. risk assessments, method statements etc. <p><i>Organise your activities to deliver your event plan</i></p> <ul style="list-style-type: none"> ▪ 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? ▪ Ensure you have adequate resources to implement your plan including competent advice where needed <p><i>Implement your plan</i></p> <ul style="list-style-type: none"> ▪ Decide on the control measures and put them in place
Check	<p><i>Measure your performance</i></p> <ul style="list-style-type: none"> ▪ 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. ▪ 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.

	<i>Investigate any concerns, incidents or near misses, poor crowd control, lack of welfare facilities (examples)</i>
Act	<p><i>Review your performance</i></p> <ul style="list-style-type: none"> ▪ Learn from your event experience, both positives and negatives ▪ Give a team and consultation debriefing if necessary ▪ Review any accident or incident that occurred; notify CHS using relevant forms ▪ Revisit plans, documentation and risk assessments to see if they need updating <p><i>Take action on lessons learned</i></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"> 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
Event activities	<ul style="list-style-type: none"> The type of event activities will determine the health and safety risks involved
Audience profile	<ul style="list-style-type: none"> 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 The audience profile will inform decisions on various issues, including the type of construction required, welfare facilities and stewarding
Crowd numbers	<ul style="list-style-type: none"> 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
Length and timing of event	<ul style="list-style-type: none"> Consider how long the event will last, plus the time of day and time of year
Access	<ul style="list-style-type: none"> 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
Infrastructure	<ul style="list-style-type: none"> 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

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) http://www.hse.gov.uk/construction/cdm/2015/index.htm . 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 http://www.hse.gov.uk/pubns/cis80.pdf
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. 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. [Andy Parish](#)

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 [Andy Parish](#)

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. [Licensing](#)

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

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. [Clean safe green](#)
[SHeila](#)

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. [Comms team](#)

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: SafetyAdvisoryGroup@dacorum.gov.uk		

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

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

Description of Activity	'Name of Event' 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)		
Location			
Completed by			
Date of Assessment		Review Date	

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>Management of H&S with clear responsibilities:</p> <p>e.g. poor communication of responsibilities; unaware of hazards that could cause injury or 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. Note CORPORATE HEALTH AND SAFETY do not 'sign-off' on events; responsibility for the event rests with the Event Organiser.</p> <p>If applicable, ensure any applications for Licenses are completed within specified timescales (refer to Commercial Health & Safety and Licensing functions)</p>		

		De-brief to reflect on event and any 'lessons learned' for next time				
<p>Emergency Response: 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>Fire Safety 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>Medical Emergency & First Aid: 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		

Page 92

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

<p>Slips, Trips & Falls 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>Use of Contractors/Providers (note this includes both external or internal DBC services) 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 & 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>				

Dacorum Borough Council Service Events Risk Assessment

<p>Equipment & Electrical Failure e.g. injury to those working on/with equipment incl. potential collapse</p> <p><i>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)</i></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. <i>This is applicable for both external and internal (other DBC) providers of equipment</i></p>		<p>If appropriate documentation is not received or out-of-date etc. the equipment (e.g. inflatable, mobile climbing wall, fairground ride etc.) <i>are prohibited</i> from the event until all suitable and sufficient information is received.</p>		
<p>Bungee Run (Inflatable) 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><i>Note</i>, 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. <i>(Applicable to any document reference)</i></p>		
<p>Vehicle Movement 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>Children & Young Persons 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>				

Dacorum Borough Council Service Events Risk Assessment

	<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				
Physical Hazards at Event Site 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>				
Manual Handling 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				
Weather Issues 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				
Disposal of Waste: 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)				

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

Level of Risk	Suggested Action
LOW	Control measures are adequate but continue to monitor and review; ensure that they remain satisfactory and appropriate
MEDIUM	Control measures need to be introduced within a specified time period; continue to monitor and review
HIGH	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

Author	Rosherville Safety Solutions		
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TABLE OF CONTENTS

1	Part one Construction Design	3
1.1	Introduction	3
1.2	Construction (Design and Management) Regulations 2015	3
1.3	Scope of CDM regulations	3
1.4	Definition of Demolition, dismantling and structural alteration.....	5
1.5	Who has duties?.....	5
1.6	Client duties	6
1.7	Designer duties.....	6
1.8	Principle designer duties	7
1.9	Who should be appointed as PD?	7
1.10	On Smaller projects and planned works	8
1.11	Principal contractor duties.....	8
1.12	Contractor duties	9
1.13	Everyone	9
2	Management of contractors.....	10
2.1	Scope of Management of contractors	10
2.2	Purpose	10
2.3	Procurement	11
2.3.2	Pre-Procurement.....	11
2.3.3	Tender Process	11
2.3.4	Contract Period.....	12
2.4	Definitions.....	12
2.5	Legal Duties	12
2.6	Risks to the health and safety of non-employees.....	14
2.7	Health and safety precautions.....	14
2.8	Special occupational qualifications or skills	14
2.9	Principles of shared health and safety management.....	15
2.10	Information for non-employees	15
2.11	Training of non-employees	15
2.12	Contractors.....	16

2.13	Supplier.....	16
2.14	Worker under the Control of the Organisation	16
2.15	Workplace	16
2.17	Emergency Contractor Procedure	17
2.18	Monitoring, Performance and Review of Contractors	17
2.19	Assigning Work to a Contractor	18
2.20	Procedure for the Control of Contractors on Site	18
2.21	Contractor’s Site Induction Pack.....	19
2.22	Roles and Responsibilities.....	20
2.23	Associated Documents.....	20
2.24	List of Relevant Legislation.....	20
2.25	Revision History	21
2.26	APPENDIX A Client Checklist	22
2.27	APPENDIX B	24
	HEALTH AND SAFETY QUESTIONNAIRE FOR CONTRACTORS.....	24
2.26	APPENDIX C - APPOINTMENT OF THE PRINCIPAL CONTRACTOR* UNDER THE CDM REGULATIONS 2015	28
2.27	APPENDIX D - APPOINTMENT OF THE PRINCIPAL DESIGNER UNDER THE CDM REGULATIONS 2015 ..	29

1 PART ONE CONSTRUCTION DESIGN

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

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 3rd 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

3rd 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 3rd 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

Client's Checklist						
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.						
Client Checklist (for projects with more than one contractor)		Detail how this is evidenced (hyperlink or embed documents if needed)				
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

**Commissioning, Procurement & Compliance
Dacorum Borough Council
The Fourm
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

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.

Page 27 of 30

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

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Agenda Item 12

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
3 Dec 19	25 Nov 19	***** Joint Budget 2019-2020 <i>Ideally no further items to be added</i> *****		
28 Jan 20	20 Jan 20	Draft Local Plan	Assistant Director for Planning, Development & Regeneration james.doe@dacorum.gov.uk	
		Hemel Garden Town	Assistant Director for Planning, Development & Regeneration james.doe@dacorum.gov.uk	
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 Fiona.jump@dacorum.gov.uk Assistant Director for Finance and Resources Nigel.howcutt@dacorum.gov.uk	<i>To review and scrutinise quarterly performance</i>
		Environmental Services Q3 Performance Report	Group Manager for Environmental Services craig.thorpe@dacorum.gov.uk Assistant Director for Neighbourhood Delivery david.austin@dacorum.gov.uk	<i>To review and scrutinise quarterly performance</i>
		Environmental and Community Protection Q3 Performance Report	Group Manager for Environmental and Community Protection Emma.walker@dacorum.gov.uk Assistant Director for Neighbourhood Delivery david.austin@dacorum.gov.uk	<i>To review and scrutinise quarterly performance</i>
		Planning, Development and Regeneration Q3 Performance Report	Assistant Director for Planning, Development & Regeneration james.doe@dacorum.gov.uk	<i>To review and scrutinise quarterly performance</i>
		Local Enforcement Plan	Assistant Director for Planning, Development & Regeneration james.doe@dacorum.gov.uk	

	Management of Developer Contributions	Assistant Director for Planning, Development & Regeneration james.doe@dacorum.gov.uk	
	Environmental Services Annual Review	Group Manager for Environmental Services craig.thorpe@dacorum.gov.uk	<i>To provide Committee with an update on initiatives in this area.</i>
	Environmental Enforcement	Group Manager for Environmental and Community Protection Emma.walker@dacorum.gov.uk	<i>To seek views on progress relating to environmental enforcement including flytipping.</i>

Future items:

- Local Plan
- Water Gardens post project review (part 1 and 2) James Doe
- Building Control (Part 2)
- Planning Performance Agreement Service
- Tree Policy and Implementation
- The Bury Museum
- Commercial Waste