



**Briefing 15/21    January 2015**

## **Summary Report of HSE's Inspection Initiative of Household Waste and Recycling Services 2010-2014**

To: Chief Executives, APSE Main contacts, Waste Managers, Health and Safety officers

The Health and Safety Executive (HSE) undertook a phased inspection initiative to evaluate and assess the role of local authorities (LAs) when procuring and managing municipal (household) waste and recycling contracts; and/or (where applicable) delivering and managing in-house waste and recycling services

At the request of colleagues at HSE, please find below a link to the Summary report of the Inspection Initiative of Household Waste and Recycling Services, which took place over the last four years, 2010-2014.

<http://www.hse.gov.uk/waste/summary-inspection-initiatives.pdf>

The report outlines the findings of both the interim evaluations in 2012 and the final evaluations in 2014.

Headlines include:

- Within the HSE's feedback questionnaire, 60% of respondents indicated that accident rates had dropped since their inspection, 31% identified that sickness rates had dropped.
- 90% of all topic areas inspected improved or stayed the same between the inspection and follow-up visit.
- Contractors report increase in the emphasis on Health and Safety at contract specification stage.
- Most commonly identified areas for improvement were :
  - Monitoring and review of health and safety performance of service provider
  - Client and contractor monitoring the effectiveness of supervision
  - Risk assessment of activities (including route risk assessment)
  - Elimination/reduction of reversing on routes
- Enforcement notices were most commonly issued for Bin lift safety (11), Reversing assistant training (9) Noise (7) and Risk Assessment/Route risk assessment (7).
- A further programme of inspection interventions is scheduled for 2015/16.

The Inspection Initiative followed the publication in 2009 of online guidance in 'Procuring and Managing Waste Services', which along with supporting documents and case studies can be found at the below link:

<http://www.hse.gov.uk/waste/services/index.htm>

The guidance has four sections which are individually linked to below:

1. [Specifying the Service](#)
2. [Evaluating the Service](#)
3. [Managing the Service](#)
4. [Summary Thoughts](#)

Please see also: [About this guidance](#)

The initiative included all 380 Local Authority Household Waste, except two (due to ongoing investigations within these authorities) and each was assessed over 59 topic areas across 7 themes, listed below. Every authority received feedback on each of these areas.

- 1) Procurement and Management of contract/service
- 2) Management (general)
- 3) Workplace transport – refuse and recycling and collection vehicles
- 4) Manual Handling
- 5) Health and Welfare
- 6) Personal Protective Equipment
- 7) Other matters

Further information about Local Authorities' legal obligations in the Procurement and Management of Household Waste and Recycling Services, which this guidance is designed to ensure compliance with is available at the below link:

[Main duty holder responsibilities under the HSW act](#)

#### **APSE comment**

HSE have noted that LAs deliver waste services (or parts of them) in-house, and for these authorities, some of the contract-related references in this document may not seem relevant. But the principles set out here are relevant to all LAs, including those who provide the services in-house. They set out good management practice for delivering waste services and should be applied to the design, selection and management of waste service delivery – no matter who it is provided by

APSE itself promotes best practice relating to health and safety, both via information and practical training. As such [APSE's Health and safety in waste and environmental services \(supervisor level\) Masterclass](#) and the [APSE Supervisory skills in frontline services](#) course, may be of particular relevance in helping Local authorities address some of the issues identified in this inspection report.

APSE members can use the APSE Network Query service and APSE Advisory Groups, in particular the UK-wide Waste Management, Refuse Collection and Street Cleansing Advisory Group held in Manchester and the regional groups in the APSE Scotland, Wales and the South/South west regions to share and implement good practise in advance of inspections.

Of further interest is Janet Viney's (HM Inspector of Health and Safety), presentation at the APSE Environmental Services conference 2012 (Appendix 1) which gives details about the findings of the Inspection Initiative at the 2012 interim stage and highlights what authorities were doing well at this stage and which areas were emerging as sub-standard most frequently

It is worth noting that since HSE recharge for inspections costs, councils should regard HSE inspections as opportunities to gain what they need to continue to improve service delivery, to gain in a sense 'value for money'

Based on the findings of the inspection, Local authorities and other stakeholders now need to consider these findings and work together to develop ways of raising standards in those areas identified within the report where improvements still need to be made.

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in  
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Janet Viney

HM Inspector of Health and Safety

Health and Safety Executive

# HSE Interventions with Local Authority Waste and Recycling Services

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## Mid Point Review

# Why?

## Health and safety performance



### **Bad News!**

The fatal rate for workers:

- 2 x that of construction
- 9 x “all industries” rate
- Only agriculture is worse at 10x “all industries” rate

Hence, a priority industry for HSE

### Good news

RIDDOR all injury rate is dropping

**BUT**

7 fatalities in 2009/10

15 fatalities in 2010/11

6 fatalities in 2011/12

12 so far in 2012/13

# Health and safety performance

- 80% of all accidents - collection and sorting activities
- Major injury causes
  - Handling = 42% (MSDs and sprains 33%, lacerations/sharps 9%)
  - Slips, trips and falls = 29% (falls 6%)
  - Stuck by objects = 18%
  - Workplace transport = 4%
  - Machinery = 3%
- Majority of fatalities are transport related
- Ill-health issues
  - absence rates e.g. 12.8 days c. 9.6 days public sector
  - new and emerging processes – bioaerosols and composting, exposure to lead, mercury etc. during WEEE recycling etc.



## HSE's programme of work with industry

Five delivery mechanisms to the programme covering: stakeholder engagement, communications, inspection and enforcement, research and standard setting.

Numerous work streams in W&R programme, but key elements at this time are:

- Influencing LAs – health and safety in managing delivery of waste services
- Lead Inspector initiative with national waste management companies
- Inspection of “hot spots”

# What HSE is doing to target LA sector

## HSE Inspection phase of LA waste and recycling services

3-year initiative to evaluate and assess the role of local authorities (LAs) when:

- procuring and managing municipal waste and recycling contracts;  
and/or
- delivering and managing in-house waste and recycling services.



# What Inspectors have focused on

- Procurement and management of contract/service
- Management – training, supervision, monitoring
- Workplace transport
- Manual handling
- Health and welfare
- PPE

# How....



- Review and assessment of procurement and management policies and procedures
- Assessment of refuse collection
  - urban and suburban locations and a range of collection containers where possible, e.g. bags, bins, wheelie bins, etc
- Assessment of recycling collection and kerbside processing
  - kerbside sorting, boxes, bins and on vehicle sorting
- Review session with management and safety reps
- Identification of remedial actions and agreement to produce an action plan

# Assessment of Standards



- Assessed using the scale found on the inspection proforma i.e. score 1-6 (or N/A).
- 1 High standards
- 2 Good standards
- 3 One or more minor shortcomings
- 4 Standards are patchy
- 5 Standards generally unsatisfactory
- 6 Standards unacceptable

# Why mid point review?



- To identify topic areas where substandard scores were recorded in 15% or more of the returns – to assist FOD inspectors with the focus of future inspections.
- To highlight to LAs areas where authorities are compliant and non-compliant and provide further advice and guidance as required

Local Authority Waste Occupational Health and Safety Forum (LAWS)

Local Authority Recycling Advisory Committee (LARAC)

Other LA waste forums

# Findings so far...

- In summary to 31 March 2012:
- 42% (171 out of 407) of all LAs in GB have been covered by inspection activity since the start of the inspection phase in October 2010 (via 155 proforma returns).
- Out of the 171 LAs visited 40% (70) contract out all or part of the waste and recycling service.

# Headlines

- Out of the 171 LAs visited 19% (i.e. 32 out of 171 LAs) are deemed to be non-compliant in relation to managing and procuring waste services[1]
- 27 enforcement notices have been issued (on LAs and contractors).

[1] Compliant is where they have achieved a rating score of 1-3 in at least 21 out of 23 questions in Section 1 (i.e. 91%)

# What LAs are doing well



## Procurement and Management Of Contract

- Awareness and understanding of legal responsibilities
- Sufficient time is allowed for tender evaluation
- Accurate and appropriate information is provided

## Evaluation

- Clear set of criteria

(No topic areas in management section where LAs seen to be doing well)

# What LAs are doing well



## Workplace Transport

- Vehicles have aids to provide 360 degree vision
- Reversing alarms and beacons fitted
- CCTV mirrors, alarms etc fitted
- Hoist compatible with type of container

## Manual Handling

- Maintenance of container (wheels, handles etc)

## Health and Welfare

- Appropriate and sufficient first aid materials

## PPE

- High visibility clothing provided and worn
- Gloves provided and worn when required



# What some LAs are not doing so well



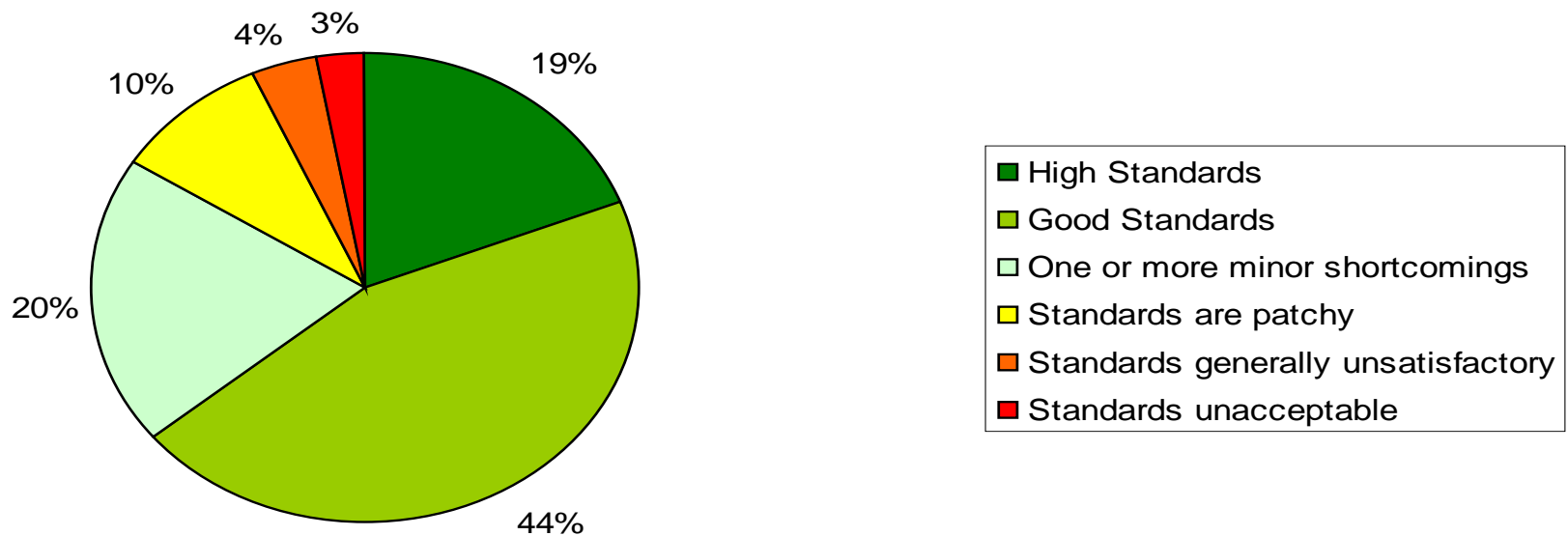
- 59 Topic areas
- Substandard - topics areas where the assessment indicates that standards might be sub-standard (i.e. there are significant scores of 4, 5 or 6 recorded in 15% or over of the returns[1]).

[1] The % scores are calculated from all returns for that question excluding those that have responded n/a or omitted to answer.

# Specification and requirements of the contract/service



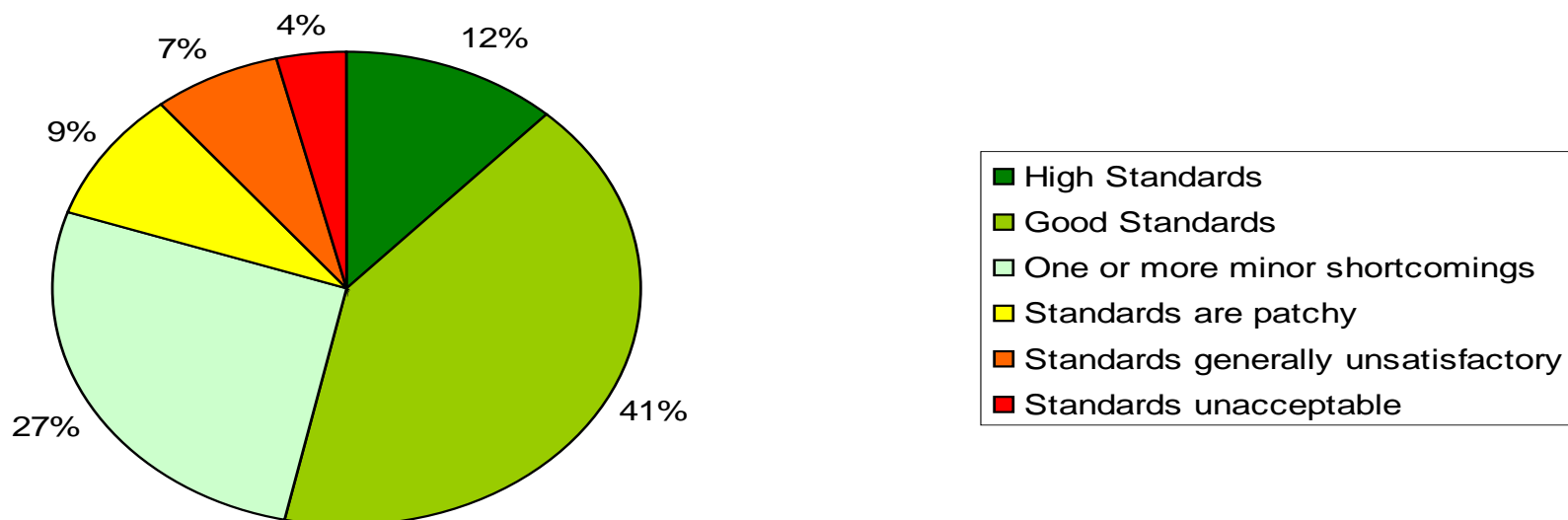
**Able to describe own internal arrangements for the receipt, evaluation, monitoring and response to risk assessments.**



Total 17% assessed as sub-standard

# Evaluation and selection of the contract/service

## Framework for the management, monitoring and review of health and safety agreed and in place before the service commences

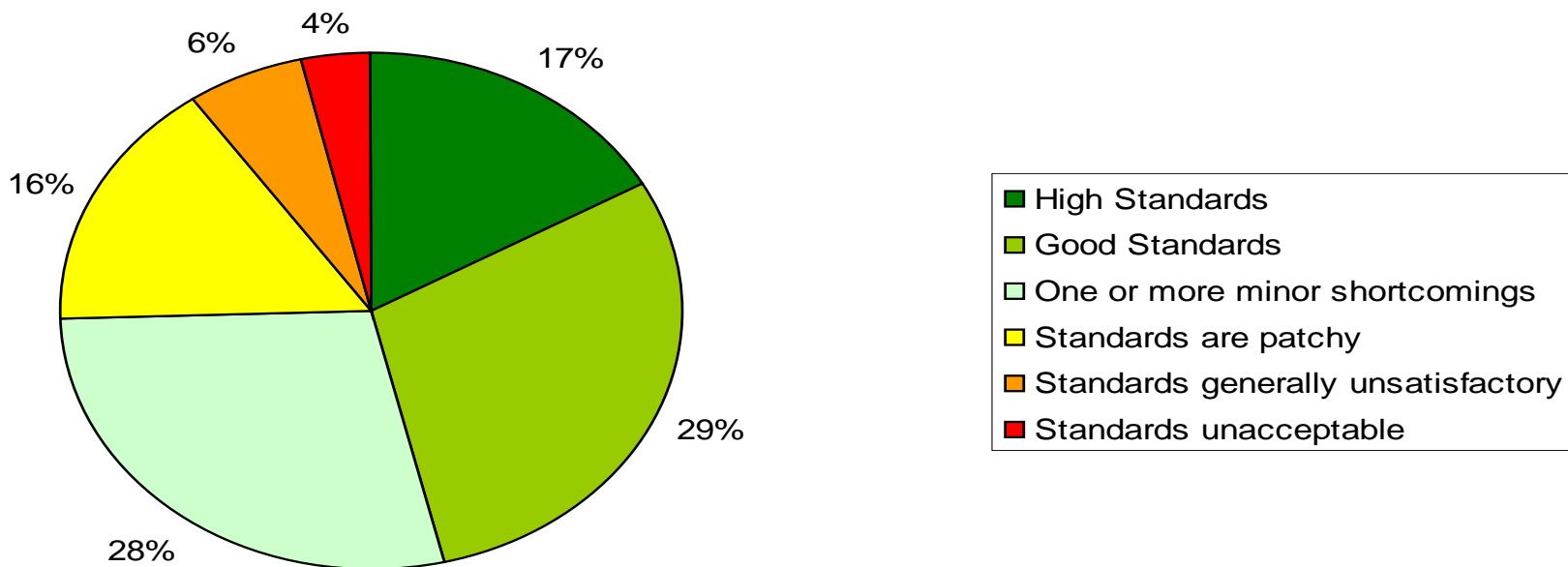


Total 20% assessed as sub-standard

# Management of the contract/service



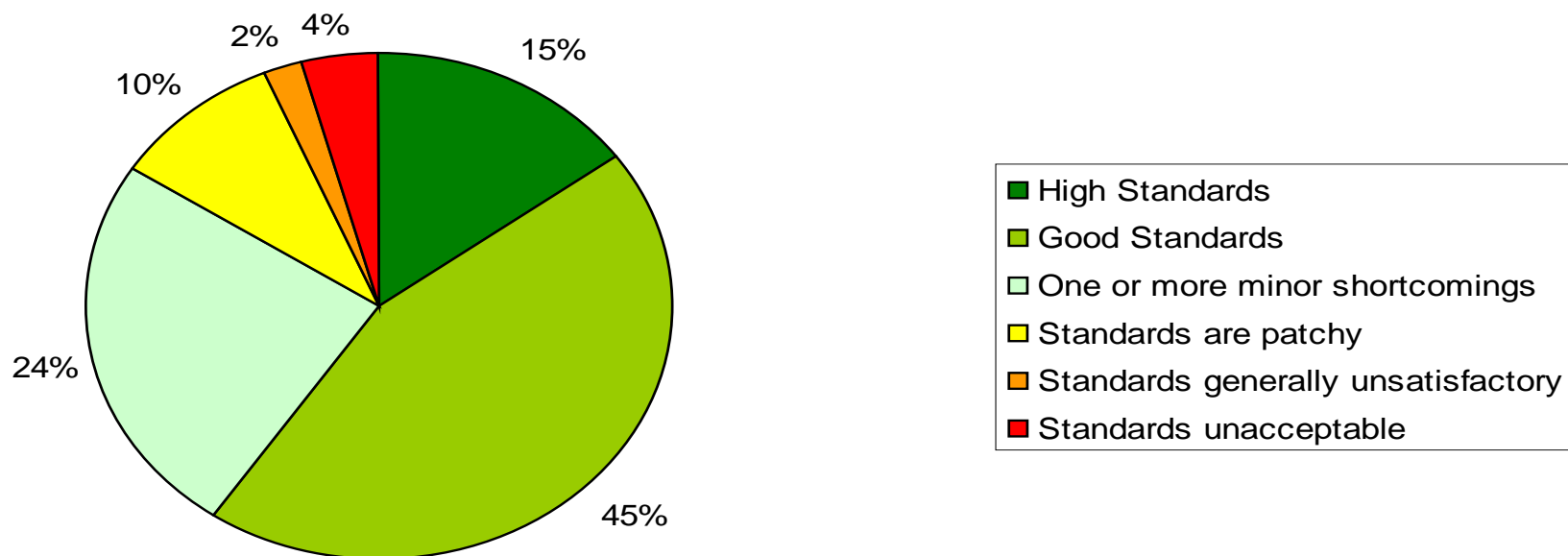
## Robust framework for the monitoring and review of health and safety



Total 26% assessed as sub-standard

# Management of the contract/service

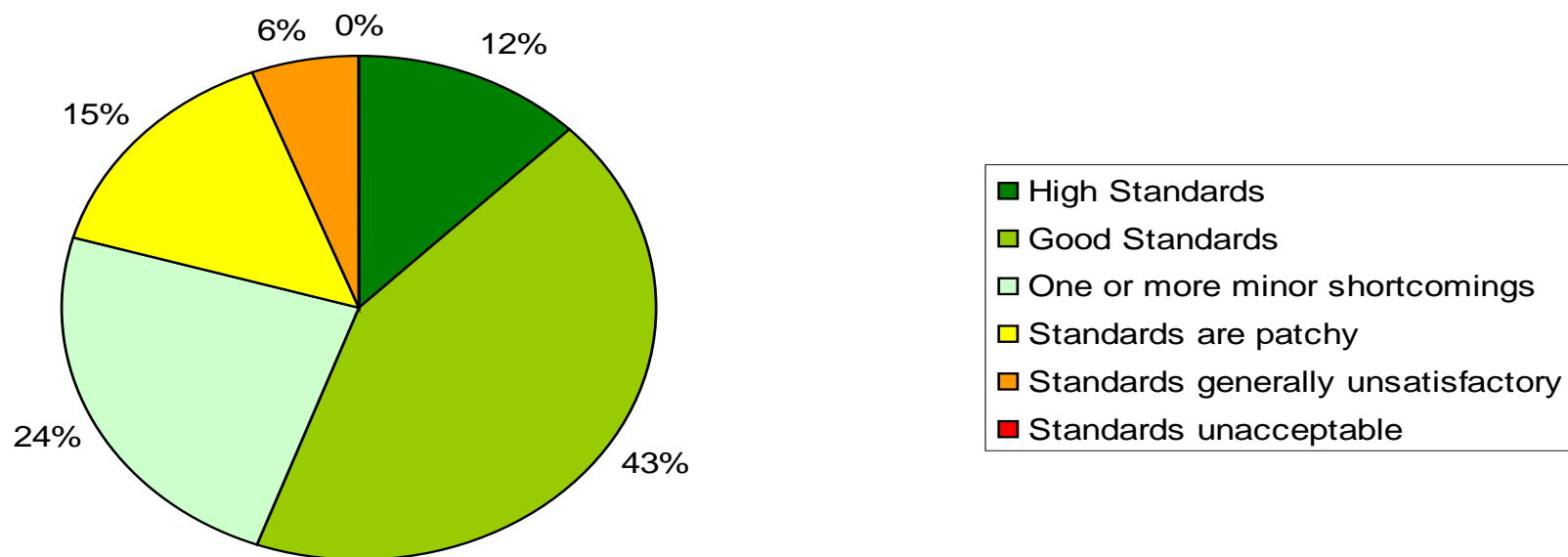
## Review committee or equivalent set up with clear terms of reference



Total 16% assessed as sub-standard

# Management General

Client & contractor monitor effectiveness of supervision

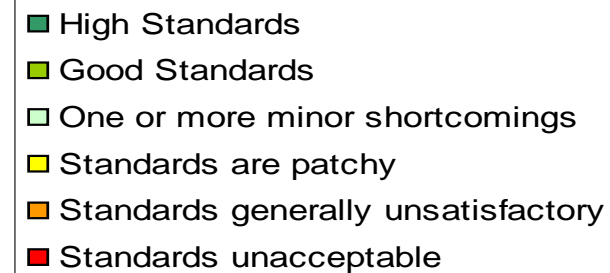
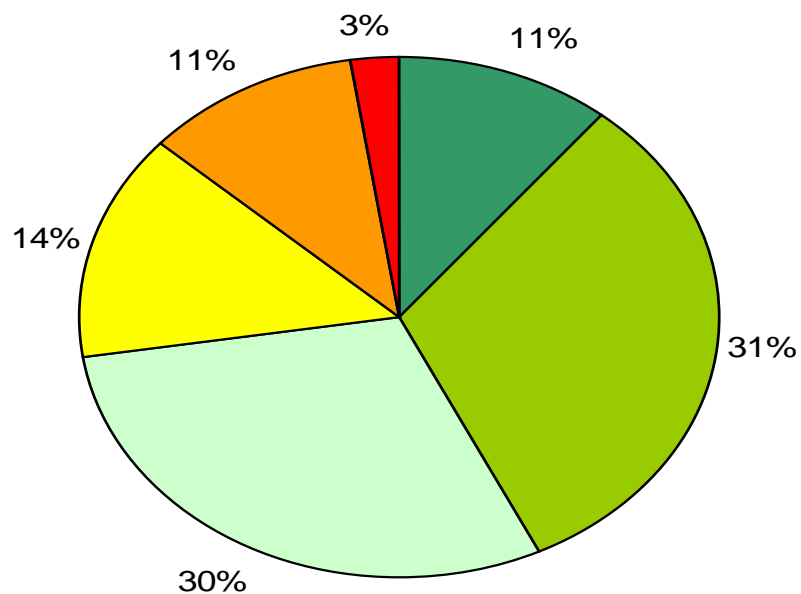


Total 21% assessed as sub-standard

# Workplace Transport



## Risk assessment of activities - including route risk assessments

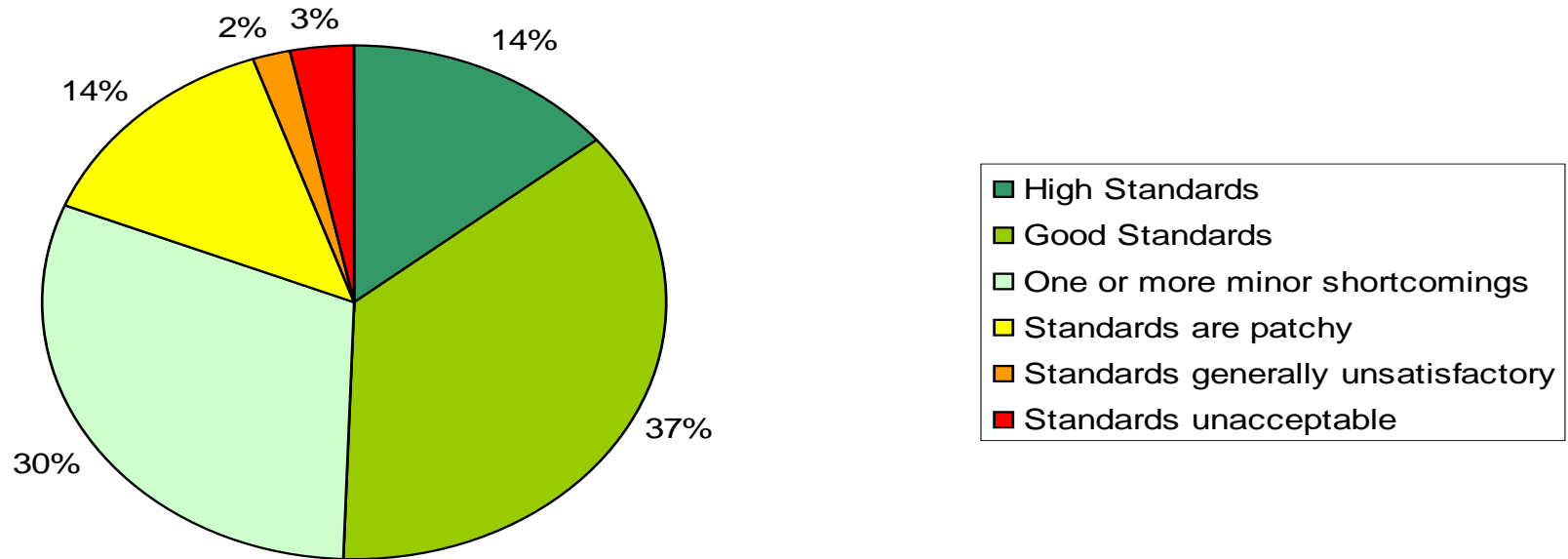


Total 28% assessed as sub-standard

# Health and Welfare



**Wash basins provided and functioning on vehicles**



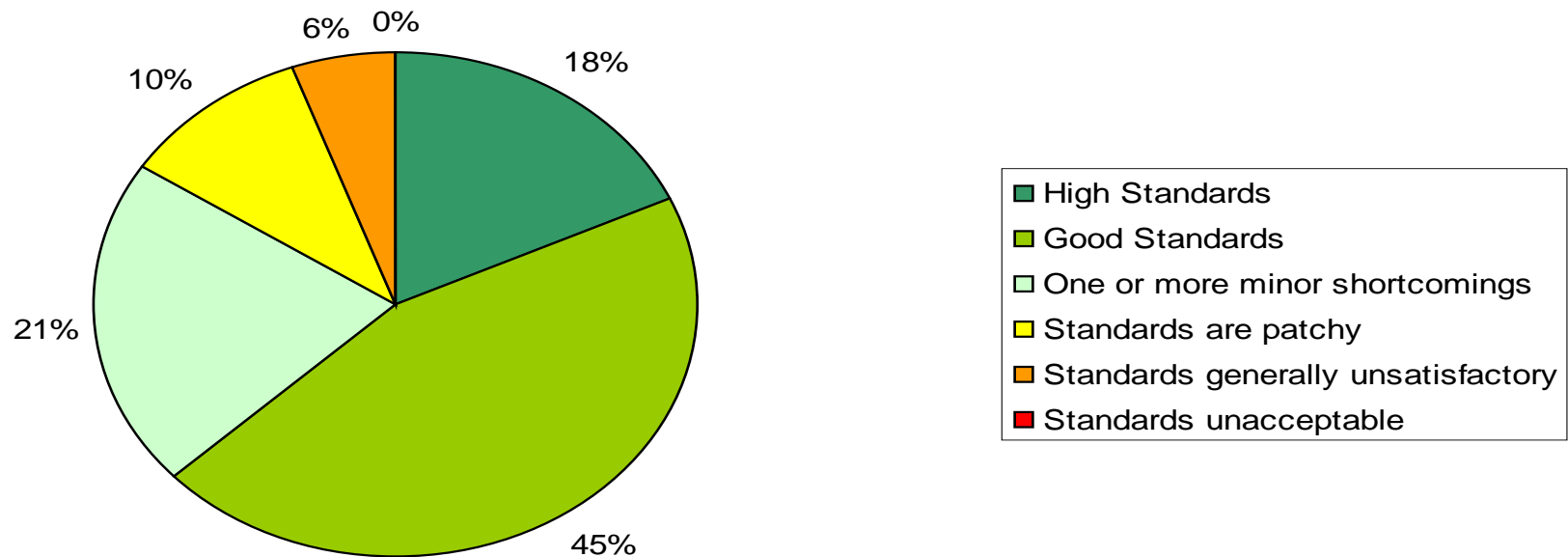
Total 19% assessed as sub-standard



# Personal Protective Equipment



**Hearing protection provided and worn when required**



Total 16% assessed as sub-standard

# Summary

## Substandard areas

- Management of the contract- monitoring and review of H&S standards
- Monitoring the effectiveness of supervision
- Route risk assessment
- Washbasins
- Hearing protection

# Enforcement Notices

27 Improvement Notices/1 Prohibition Notice

- Reversing assistant training 5
- Monitoring 4
- Route risk assessment 3
- Transport management 2
- Risk assessment - working at height on RCVs 2
- Risk assessment -working near overhead power lines 2

# Other Notices

- Noise
- Supervision
- Manual handling assessment
- PPE
- Bin lift safety
- LEV for diesel fumes
- Washbasins
- Asbestos

# Follow Up Visit – Stage 2



- A follow up visit should be made to assess the level of control and degree of improvement. Key actions at this stage will include:
- Monitor and review progress with action plans
- Assess improvement against original findings
- Refocus attention in key areas
- Ensure duty holders are aware of any new industry specific good practice guidance
- Collect evidence of good practice that can be shared across industry

# Summary



- Avoid being overly prescriptive when specifying the service
- Monitoring by the client is key
- Review performance of the contract regularly



Any questions?