

EFFECTIVE PROACTIVE MONITORING IN WASTE AND RECYCLING COLLECTION ACTIVITIES

This WISH information document is aimed at health and safety improvements in the waste management industry. The Health and Safety Executive provided support to WISH in producing this guidance. This guidance may go further than the minimum you need to do to comply with the law with regard to health and safety

Contents

- **Introduction and scope**
 - **Effective monitoring**
 - **Example checklists and matrix**
 - **Disclaimer and WISH**
- Appendix 1: Monitoring checklist example**
Appendix 2: Monitoring of individuals/collection crews matrix
Appendix 3: Monitoring checklist for LA (local authority) clients

Introduction and scope

One of the core elements of effective health and safety management is to check that policies and procedures are actually being followed. Effective monitoring in the waste and recycling industry is important because of the constantly changing environment particularly during refuse and recycling collection activities. This information sheet provides two example checklists and a matrix to assist those involved with such monitoring. However these are only a guide and depending on your individual activities and organisation's policies, you may need to delete, alter, amend or supplement the contents when devising your own documentation.

This information is aimed at managers and supervisors of waste and recycling collection activities. They may be employed by local authorities (as employers who operate the contract, or as clients who manage the contract) or private contractors. It may also be useful to health and safety professionals who advise the waste and recycling industry.

Effective monitoring

Use the same approach to monitor your health and safety performance as you would when you monitor other aspects of your business. You will need to decide on:

1. **What to monitor and how to record it** – the checklists in this guidance should assist.
2. **How to ensure all drivers and crews are covered by monitoring** – the matrix in this guidance should assist.
3. **Who should do it** – this is likely to be at supervisor/manager level for the monitoring of collection crews and at management level for the monitoring by LA clients. Worker representatives may also be involved.
4. **What training they will need** – those involved should receive sufficient training and be competent to carry out this task. They will need to:
 - Be familiar with the tasks and procedures involved
 - Understand the reasons behind each issue which is being monitored
 - Carry out monitoring safely and that it does not in itself increase risks
 - Have an understanding of the applicable legislative requirements
 - Have knowledge of the contractors' procedures (where applicable)
5. **How should they monitor** – it may be planned/unplanned and may be varied e.g. at the depot, gate or transfer station or at any time during the collection round. Supervisors/managers may also focus on different topics.
6. **How to inform crews about monitoring** – factors to consider include:
 - All drivers and loaders (including agency staff) should be advised about monitoring arrangements and why they are in place i.e. to ensure they are following the procedures that they have been trained in
 - A system should be in place to manage the feedback to crews about areas of non-compliance – particularly in the case of the contractor employee's
 - If any part of the service is contracted out the crews should be made aware whether they will receive separate visits from the LA Clients and how these will be undertaken
 - This information may be conveyed at their training or via tool box talks

Waste Industry Safety and Health Forum

7. **How often** – this will be dependent on the type of monitoring. Some checks will be carried out daily by crews; however checks by the LA clients may vary (for instance checks may need to be more frequent at the start of the contract, but with longer intervals as the contract matures and confidence is gained). However it is important that key risks and precautions are monitored more often and in more detail.
8. **How to deal with non-compliance** – those that are being monitored should be clear about how non-compliance will be dealt with.
9. **How to report** – the results of monitoring should be reviewed, analysed and reported to senior management to assist with improving health and safety performance.

Example checklists and matrix

The example monitoring checklists and matrix given in appendices 1, 2 and 3 may assist those involved with checking that policies and procedures are being followed during waste and recycling collections:

Appendix 1: Monitoring checklist example

This may be used by supervisors or managers to inspect collection activities. Page 1 is used to record the findings and page 2 identifies what standard is required for each issue being checked.

Appendix 2: Monitoring of individuals/collection crews matrix example

To ensure that **all** crew members are covered by monitoring activities, service providers should keep a record of the date of the visits and any compliance/non-compliance issues. This should assist when reviewing procedures and may also be used for staff appraisals.

Appendix 3: Monitoring checklist for LA (local authority) clients

LA (local authority) clients should ensure that contractors delivering the service are actually working to the agreed method statements. The checklist reminds LA clients of the issues to check when managing the contract.

***Note** – these checklists and matrix are only examples. Depending on your individual activities and organisation's policies, you may need to delete, alter, amend or supplement the contents when devising your own documentation.*

Disclaimer and WISH

This information document has been prepared by health and safety practitioners to assist health and safety improvements in the waste management industry. It is endorsed by the WISH (Waste Industry Safety and Health) Forum. This information document is not formal guidance and represents good practice, which typically goes beyond the strict requirements of health and safety law.

Nothing in this information document constitutes legal or other professional advice and no warranty is given nor liability accepted (to the fullest extent permitted under law) for any loss or damage suffered or incurred as a consequence of reliance on this document. WISH accepts no liability (to the fullest extent permitted under law) for any act or omission of any persons using this document.

The information document is not a substitute for duty holder judgment and/or professional safety advisor's judgment, Notwithstanding the good practice contained within this document, duty holders are responsible for ascertaining the sufficiency and adequacy of their internal and independent procedures for verifying and evaluating their organisation's compliance with safety law.

The Waste Industry Safety and Health (WISH) Forum exists to communicate and consult with key stakeholders, including local and national government bodies, equipment manufacturers, trade associations, professional associations and trade unions. The aim of WISH is to identify, devise and promote activities that can improve industry health and safety performance.

Useful links and further reading

WISH website: www.wishforum.org.uk

Available on WISH website: WISH Waste 04 Waste and recycling vehicles in street collection

Available on WISH website: WISH Waste 23 Safe waste and recycling collection services

HSE waste and recycling webpages: www.hse.gov.uk/waste/index.htm

Waste Industry Safety and Health Forum

Appendix 1: Monitoring checklist example

Waste and recycling collection activities - monitoring checklist (page 1)							
Time		Date		Route type (circle)	Domestic	Recycle	Garden
Driver		Agency/full-time	Signature		Vehicle Registration		
Loader		Agency/full-time	Signature		Location		
Loader		Agency/full-time	Signature		Person monitoring		
Driver and vehicle safety							
No.	Issue	Yes	No	Comments			
1	Daily check sheet/ log book/documents in place?						
2	Reversing lights, alarm and camera checked?						
3	Beacons and other lights checked?						
4	Other vehicle safety features checked?						
5	Mobile phone and radio used correctly?						
Route risk assessment (RRA)							
6	RRA available and relevant?						
7	Safe double sided collection?						
Operative Safety							
8	Safe operation of hopper and bin lift?						
9	Vehicle always stationary when being loaded?						
10	No loading on reverse travel path into dead-ends?						
11	Road safety, footpaths, no running etc?						
12	Manual handling: Assess, move, lift and lower?						
13	PPE worn correctly, suitable and undamaged?						
14	Safe vehicle access and egress?						
15	Seatbelts worn, loaders seated when travelling?						
16	No phones or headphones worn when collecting?						
17	Infection control measures being used?						
Reversing							
18	Driver reversing safely?						
19	Reversing assistants using safe methods?						
Public Safety							
20	Crew monitoring hopper and bin lifts?						
21	Spills cleaned up, brush and shovel used?						
22	Bins returned to collection point?						
Additional Points:							
Corrective Actions (who by and when)							
Sign: Supervisor/manager (accepts actions and timescales)				Date			

Waste Industry Safety and Health Forum

Waste and recycling collection activities - monitoring checklist (page 2)

Use this page and the standards given below when completing page 1 check as above.

Driver and vehicle safety

No.	Issue	Standard required
1	Daily check sheet/ log book/documents in place?	Driver completes daily check sheet and logbook before leaving depot. Plus, ensure driver has correct assisted pull information, route maps, risk assessments and bin labels
2	Reversing lights, alarm and camera checked?	Ensure all lights, beacons and alarms have been checked and are working correctly
3	Beacons and other lights checked?	
4	Other vehicle safety features checked?	Such as RAV rail interlocks, emergency stops, first aid kit, fire extinguisher, spill kit etc in place
5	Mobile phone and radio used correctly?	Compliant with Highway Code

Route risk assessment (RRA)

6	RRA available and relevant?	Collection round carried out in accordance with RRA and RRA still relevant and up to date
7	Safe double sided collection?	Loaders to collect both sides only when identified by RRA. Plus, ensure safe road crossing

Operative Safety

8	Safe operation of hopper and bin lift?	Barrier arms extended, loader standing clear during bin emptying cycle, no grabbing bin before end of cycle
9	Vehicle stationary when being loaded?	Vehicle must come to complete stop before any bins loaded
10	No loading on reverse travel path into dead-ends?	Bins should only be loaded during vehicle's forward path out of cul-de-sacs/narrow access roads, not on reverse in path
11	Road safety, footpaths, no running etc?	Roads crossed safely, footpaths used, no running, no following lorry in road
12	Manual handling: Assess, move, lift and lower?	Manual handling techniques follow training. Bins checked for weight before moving, loads lifted inside base, no twisting, no running with bins, push pull follows dip and drive principal
13	PPE worn correctly, suitable and undamaged?	High visibility clothing, gloves, safety footwear worn, good condition, not damaged. Wet weather clothing available.
14	Safe vehicle access and egress?	3 points of contact, no jumping, on nearside if possible
15	Seatbelts worn, loaders seated when travelling?	Driver must allow loaders to be seated with seatbelts worn before moving off, and seatbelts worn when travelling
16	No phones or headphones worn when collecting?	Crew not wearing headphones/using mobiles when loading
17	Infection control measures being used?	Hand washing or cleansing available to staff

Reversing

18	Driver reversing safely?	Reversing at slow speed, use of all available equipment, mirrors, reversing assistant, camera, lights and alarm
19	Reversing assistants using safe methods?	Using correct hand signals, in drivers sight, no walking backwards, remaining outside crush area, use of radio

Public Safety

20	Crew monitoring hopper and bin lifts?	Public must be kept clear of rear of vehicle during compaction and bin lift cycle
21	Spills cleaned up, brush and shovel used?	All dropped rubbish is collected and disposed of correctly
22	Bins returned to collection point?	Emptied bins returned to where they were collected from

Waste Industry Safety and Health Forum

Appendix 2: Monitoring of crews matrix example

Collection crews monitoring performance summary matrix

Use this matrix to summarise crew member performance during monitoring. The aim is to be able to identify more easily individuals and crews for additional training, monitoring or other actions, up to and including disciplinary

Person		Dates of monitoring and performance					Overall I	Compliance issue and corrective action/s
Name	Position	Date	Date	Date	Date			
NAME	Driver							
NAME	Driver							
NAME	Driver							
NAME	Driver							
NAME	Driver							
NAME	Driver							
NAME	Driver							
NAME	Driver/loader							
NAME	Driver/loader							
NAME	Driver/loader							
NAME	Driver/loader							
NAME	Loader							
NAME	Loader							
NAME	Loader							
NAME	Loader							
NAME	Loader							
NAME	Loader							
NAME	Loader							
NAME	Loader							
NAME	Agency							
NAME	Agency							
NAME	Agency							
NAME	Agency							
NAME	Agency							
NAME	Agency							

Key and instructions

	No non-compliances/no unsafe actions noted
	Minor non-compliance/action which may have led to minor injury
	Serious non-compliance/action which may have led to a serious accident

This spreadsheet records the performance of individual members of staff following monitoring. Use the key code above to record compliance against the employer's policies and procedures

Waste Industry Safety and Health Forum

Appendix 3: Monitoring checklist for LA clients

Collection crews monitoring systems assessment checklist

This checklist is aimed at allowing local authority clients to assess their own monitoring systems and contract arrangements. The first part of the table covers monitoring systems and the second contract arrangements

Client monitoring systems (management of the contract)

No.	Check item	Yes	No	Comments/actions
1	Is there a robust framework for monitoring and review of contractor health and safety practice and performance? Does this framework include: 1. What should be monitored and how? 2. Frequency of monitoring (with flexibility to change dependant on standards observed)?			
2	Is the role of the client monitoring officer clearly identified?			
3	Are all monitoring officers trained and competent, and how is this assessed?			
4	Do officers <i>have access to and use</i> the expertise of others e.g. Health and Safety officers, Health and Safety forums/networks?			
5	Do officers have the authority to deal with imminent/serious risk to contractor employees or members of the public? Is there an agreed procedure for this with the contractor?			
6	Are contractor accidents and ill health monitored? If so, is appropriate action taken to prevent a recurrence?			
7	Is there a system to ensure issues referred by the client to the contractor are actioned?			
8	Have effective lines of communication between client and contractor been established?			

Contract arrangements

9	Does the collections contractor have a robust framework for monitoring health and safety?			
10	Are the contractors delivering the service to the agreed method statements (as outlined during procurement)? Do those method statements continue to reflect the work activity being undertaken?			
11	Are there key H&S performance indicators in the contract? If so, are they measured and assessed?			
12	Is there a contract review committee set up? Does the committee have reps from LA and contractor senior management, elected member/s and worker reps? Does health and safety always feature on the agenda?			
13	Has a suitable method of feedback to the contractor been developed?			