

## PENALTY POINTS DISCIPLINE SCHEME

This Guidance is written with the expectation that it represents best practice and as such if you are involved in this type of activity will normally be followed unless a better local solution has been devised.

### Scope

This guidance covers how the 'Penalty Points Scheme', that identifies safety violations and warns employees, workers, subcontractors and visitors that their safety performance is unacceptable, is managed during works undertaken or controlled by Carillion.

The way it has been described below primarily applies to a subcontract workforce; however the principles can be applied to Carillion employees too.

### Purpose

To provide information about a penalty points scheme

### Definitions and Notes

The issue of penalty points can be an effective method by which trends of either individuals or supply chain companies can be reviewed.

Employees who contravene a site rule or safe method of work and are issued with appropriate penalty points must be absolutely clear of the infringement.

### Associated Documents

[Reward and Discipline Procedure \(extranet\)](#)

[Disciplinary and Dismissal Policy \(extranet\)](#)

### Guidance

When a contravention has been identified and confirmed the individual should be issued with a signed copy of an appropriate penalty notice, showing date, time etc, a clear statement of the contravention and any information or actions relating to it and the number of points being issued.

The written notice must be given in the presence of or copied to the appropriate supervisor / line manager. Where the notice involves a subcontractor a copy should be given to the person's employer and a copy retained by site on record.

A copy of the notice should be given to the operative's employer and a copy retained by site on record. The person nominated by the Contract Head will need to keep records to be able to effectively monitor and review the record of all points issued such that an accumulative points' process can be implemented.

### 3 Penalty Points

When an individual receives 3 points, compliance with any actions determined by the penalty notice should be seen as a satisfactory resolve.

### 6 Penalty Points

When an individual receives or accumulates a total of 6 points within 3 months they will be required to attend a supplementary training session provided and given by their employer which must be carried out prior to the individual being allowed to recommence work

The individual must be accompanied at the training session by their immediate supervisor.

The content of the training session will be determined by the contract team and will include, but not be limited to, a summary of the employee's duties and any relevant matters from the contravention.

## 9 Penalty Points

When an individual receives or accumulates a total of 9 points within 3 months, the employer will be instructed to remove the person from the project. That individual will not be allowed to return to work on the contract. Some contracts may wish to operate a system by which at issue of 3, 6 or 9 points to individuals, complimentary single penalty points are issued to their supervisors.

The disciplinary procedure to be followed for Carillion staff is that detailed by Carillion HR, not as described above.

## Time scale

Penalty points will remain in force for a period of 3 months on the individual's record. After this period, points will not be accumulated with any other contravention.

## Appeals

Appeals can be made by effected individuals and when lodged will be dealt with by a senior member of the management team. If an appeal is lodged, this should always be reviewed prior to the individual attending the supplementary training session.

## Examples of Contraventions

Below are listed examples of poor practice which could attract penalty points; it is not an exhaustive listing. Contracts can determine a lesser or greater number of points dependent upon the nature of the contravention. In particular contracts should select the points tally based on current circumstances and areas of focus or concern.

### Examples:

Following concerns regarding pedestrian movement a project invested heavily in providing designated walkways, well routed and communicated through e.g. signage, toolbox talks etc however operatives are still seen to be using vehicle routes to move about on – then penalty points would be appropriate.

Recent auditing highlighted wide ranging improper use of aluminium towers therefore instruction was clearly communicated that no user should access an untagged tower, however operatives were seen continuing to do so - then penalty points would be appropriate.

### *Failure to Wear PPE - (3 point penalty)*

- Head protection
- Safety footwear (Min. Toe and mid sole protection)
- High visibility waistcoat / jacket
- Light eye protection (LEP)
- Hand protection - gloves
- Other PPE where required:
  - Hearing protection
  - Special eye protection
  - Respiratory protection
  - Special gloves

### *Failure to comply with Dress Rules - (3 point penalty)*

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Penalty Points Discipline Scheme

CORE/HSSQ/GUI/150

Minimum, Short Sleeve Shirt / Tee Shirt, Long Trousers.

*Failure to Work Safely - (6 point penalty)*

- Interfering with Safety signage or equipment
- Smoking in prohibited areas
- Unlicensed persons operating mechanised plant
- Horseplay

*Serious breach of Safety Discipline - (9 point penalty)*

Where an act wantonly carried out by an individual creates a risk to himself or to others which is enough to cause serious injury or damage

- Climbing scaffolds except by access provided
- Interfering with scaffolding or edge protection

*Summary Dismissal*

Theft, violence, (actual or threatened) dealing in or using illegal substances will carry automatic removal from site. See Disciplinary and Dismissal Policy

*Environmental Violations - (6 point penalty)*

- Any person wantonly causing damage to the environment.
- Uncontrolled disposal / discharge of chemicals
- Insufficient care to prevent spillages
- Unnecessary noise, dust or fumes.
- Incorrect storage of chemicals

End

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