USHA

Universities
Safety and Health
Association

Leadership and Management of Health and Safety in Higher Education Institutions

Management Standard

In partnership with

UCEA UNIVERSITIES & COLLEGES EMPLOYERS ASSOCIATION

Endorsed by

Universities UK

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Using this standard

You can use this standard to help you understand your legal duties and demonstrate your visible commitment to the success of the health and safety management system in your institution.

The broad principles can all be captured within the management system approach: **Plan, Do, Check, Review**[1]. This approach is no different to management processes used across Higher Education Institutions (HEIs) for other purposes, such as procurement, applying for research bids or developing institutional strategies.

This standard describes principles and practices which managers in any HEI will need to apply in order to demonstrate good health and safety management.

It is important to recognise the strength derived from the diversity and autonomy of the sector. Each HEI is unique in terms of its structure, size, risk profile, composition and management structures.

Individual managers may find their particular role will encompass more than one tier. This standard provides a framework that can be adapted to each HEI's individual requirements.

For each tier of management, there is a two-page section that can be used independently from the rest of the standard.

These stand-alone sections provide example behaviours, actions or processes that demonstrate leadership and management commitment at that tier. They also provide guidance on what advice and support can be provided by the health and safety professionals and appointed persons.

The standard reflects a common model for central health and safety professionals with local safety appointments within each function. However individual HEIs may have different arrangements for the provision of competent health and safety advice.

It is important to take a holistic approach to health and safety with consideration of occupational health and workplace wellbeing matters linked with institutional health and safety arrangements to enable a joined-up approach.

Throughout the standard, the terms 'ensure' and 'must' are used to identify essential behaviours and traits of effective health and safety management[2].

The standard also refers to existing HSE and sector literature, with links provided through footnotes.

1 Many institutions use the term "review" in place of "act" to avoid confusion between "do" and "act".
2 See page 6 of CUC – HE – audit Committee – Code of Practice, 2020

Forewords

Foreword from the Chair of the Leadership and Management Project Group

We all appreciate working in a healthy and safe environment: you personally have a role in achieving this. As leaders and managers of higher education institutes (HEIs) your influence and behaviours set a tone for all to follow.

Making sure our community; including students, staff, visitors and contractors are safe is an essential part of managing risk in your HEI. This standard was originally produced in 2015 and has been reviewed in 2023 to reflect continual improvement in the field of workplace health and safety management.[3]

This standard focuses on the role of leaders and managers at five tiers in an HEI and aims to support those at each tier by providing examples of behaviours to show how safety responsibilities can be discharged.

The reviewing panel focused on behaviours and examples to allow leaders and managers to strive for excellence in health and safety as you do for any other business objective.

The guide links to the HEI health and safety auditing tool (HASMAP) which can be used to measure performance in practical terms.[4]

Please encourage your safety professional to share learning of your institution's KPIs and measures so as a Sector we can continue improving on what works well and develop our Sector knowledge and practice in Health and Safety Leadership.

I promote this as an important standard to all leaders and managers in HEIs as a tool to embed good health and safety management at each tier of the HEI.

Monica Kanwar MSc, CMIOSH, MISTR

Director of Health and Safety

University of York

Chair of the USHA Leadership and Management Project Group

3 UCEA (Universities and Colleges Employers Association) and USA (University's Safety Association now University Safety and Health Association, USHA) publication (2001).

4 UCEA/USHA version of the Institute of Directors (IOD) guidance Leading Health and Safety at work (published in 2008), www.usha.org.uk

Legal context from Eversheds Sutherland

From a legal perspective, the Health and Safety at Work etc. Act 1974 ("HSWA") sets out the general expectations on employers and individuals in upholding reasonable standards of health and safety performance.

regulated sphere of activity they must be taken to have accepted the regulatory controls that go with it.

The facts relied on in support of the defence should not be difficult to prove because they are within the knowledge of the defendant. Whether the defendant should have done more will be judged objectively.

The UK Legal Framework for Safety Affecting HEIs

Section 2 HSWA – it shall be the duty of every employer to ensure, so far as is reasonably practicable, the health, safety and welfare at work of all his employees – and Section 3 HSWA – it shall be the duty of every employer to conduct his undertaking in such a way as to ensure, so far as is reasonably practicable, that persons not in his employment who may be affected thereby are not thereby exposed to risks to their health or safety – are well rehearsed and understood, along with the hierarchy of regulations which specify what a duty-holder needs to do to address particular hazards. Section 40 HSWA sets out the criminal reverse burden of proof : *'in any proceedings … it shall be for the accused to prove (as the case may be) that it was not practicable or not reasonably practicable to do more than was in fact done to satisfy the duty or requirement, or that there was no better practicable means than was in fact used to satisfy the duty or requirement.'* The reversal of the burden of proof takes into account the fact that duty holders are persons who have chosen to engage in work or commercial activity (probably for gain) and are in charge of it. They are not unengaged or disinterested members of the public and in choosing to operate in a

And yet, there is far more to safety in an HEI than dry legal burdens. This standard helps bridge the gap of 'hard risk' to incorporate appropriate senior behaviours.

Good leaders understand that, amidst a host of competing priorities, they have to try and keep their balance on the wobble board, reacting to a host of other compliance pressures, funding challenges and managing academics. They appreciate that safety is a fundamental human right; the ability of the organisation to fulfil its responsibilities depends on its leaders being uncompromising custodians of that right. In 20 years of practicing as a defence lawyer in the education space, I have regularly been impressed and enthused at the commitment of those in such positions. Communication is key, but understanding what is needed and how to execute a safety strategy is a paramount consideration.

May this standard provide a framework to ask the right questions, to drive accountability and help fix any attitudes of tolerance to poor practice.

Paul C. Verrico, CMIOSH, FIIRSM, Head of the Eversheds Sutherland EHS Team, Solicitor Advocate

Foreword from the Chair, Universities Safety and Health Association

In a year that celebrates the 50th anniversary of USHA and the publication of the Robens report which eventually led to the Health and Safety at Work etc. Act 1974, it is worth reflecting on the principle defined by Lord Robens that “those who create the risk are best placed to manage it”.

The Leadership and Management of health and safety in higher education institutions standard builds on the principles outlined by Robens and has proven to be a respected tool which institutions have adopted as the basis of a sensible and pragmatic approach to managing health and safety.

A review was commissioned by the USHA Leadership and Management Project Group to ensure that the standard remained relevant.

This review has considered the reported rise in work related ill health in Great Britain, as referenced in the HSE health and safety statistics 2022, as part of an institutional risk profile. Other key areas that have become more prominent are business continuity and the importance of training in the prevention of accidents and incidents.

Whilst the organisational structures of the standard remain the same, a core strength of this standard is its ability to accommodate the varying size and shape of institutions across the sector.

As a result, it is a valuable resource that USHA encourages institutions, leaders and managers to consider when managing health and safety.

The Leadership and Management Standard is itself the product of co-operation across institutions and across the sector and I would like to thank the members of the Higher Education Safety and Health (HESH) forum and the UCEA Health and Safety Committee for their input and engagement during the development of this standard.

The standard itself is extremely flexible in how it can be used, and your local health and safety professionals can add valuable advice in this area.

Vincent King MSc, CMIOSH, PIEMA, CIWFM, MISTR
Health and Safety Director
Cranfield University
USHA Chair

Foreword from the Chair of the Higher Education Safety and Health Forum (HESH) and the UCEA Health and Safety Committee

Well-developed systems of leadership and management that support a strategic and holistic approach are vital to achieving effective health and safety in the working environment. The Universities and Colleges Employers Association (UCEA) therefore welcomes the new edition of The Leadership and Management of Health and Safety in Higher Education Institutions, produced in consultation with the HESH Forum and the UCEA Health and Safety Committee. Since being appointed as the Chair of both groups, I have been able to witness first-hand the enormous value of partnership working on health and safety matters.

The last few years have highlighted the necessity of good health and safety management by employers, particularly in facilitating a quick and effective response to unexpected and challenging risks. Reflecting on the many lessons learnt from this experience, one is indisputable - a clear framework is essential to the successful management of health and safety issues within complex organisations such as higher education institutions. This document provides practical guidance on how to achieve this. It takes account of the differing responsibilities of tiers of leaders and managers for leading on health and safety within their institution, both in terms of promoting a positive health and safety culture and in terms of more specific responsibilities. It offers a model that encourages best practice, whilst recognising the diversity of institutions.

I would like to thank USHA for keeping this valuable tool under review and ensuring it remains relevant for the needs of our sector.

Mr Mike Parker

Chair, UCEA Health and Safety Committee, and HESH Forum

Member of the UCEA Board

Chair of the Board of Governors, Liverpool John Moores University

Introduction

This health and safety leadership and management standard is aimed at governing bodies, leaders and all tiers of management in Higher Education Institutions (HEIs). It is intended to support development of positive health and safety culture by describing the different levels of responsibilities for health and safety at an institutional, faculty, school or department level, and explaining how these groups can demonstrate their commitment to it.

This standard also provides information on how your health and safety professional can support your leadership and management groups.

An organisational culture can be defined as a collection of shared attitudes, beliefs and ways of behaving. Those organisations with good health and safety cultures embed health and safety as a core value. Safety culture is not about individuals, it is about what happens between individuals. Key components of a good health and safety culture are:

- visible commitment by top management;
- transparent methods of informing and consulting with the workforce;
- meaningful consultation with Trade Unions;
- recognition of the fact that everyone has a role to play;
- co-operation between employees;
- open two-way communications; and
- high quality of knowledge, skills and experience. Ref: HSG48[5]

An essential element of a good health and safety culture is a clearly defined health and safety management system which includes the following:

- linking health and safety to your institution's strategic corporate objectives;
- understanding the workplace health and safety risk profile of the institution; including students' activities and psychological risk;
- clearly defined responsibilities and accountabilities for all staff;
- effective communication and consultation on health and safety with Trade Unions and other key stakeholders;
- development of health and safety competency across the institution that supports the management system;
- integration of health and safety management into the institution's planning process;
- allocation of sufficient resources for the management of health and safety;
- a meaningful set of health and safety performance measures;
- the ability to review the working of the health and safety management system and learn from experiences, whether negative or positive;
- that work as imagined can be different from work as done; understanding that people do not always follow the controls in place;
- holding the right people accountable when it is fair to do so and not to seek to blame people for genuine errors and mistakes.

HEI health and safety professionals are best placed to advise on the general architecture of the health and safety system and assist with its implementation. The importance for consultation, engagement and involvement of safety representatives and staff representatives in accordance with HSE regulations and guidance[6] is an integral part of a good health and safety model with HEIs making their own detailed arrangements for engagement with staff and students.

This standard uses a model based on five tiers of management, identified as pivotal to securing good health and safety management. Health and safety performance should be recognised as an integral aspect of HEI management and leaders and managers at all tiers are best placed to influence this by visibly demonstrating their commitment.

The HSE's[7] 'sensible approach to health and safety management means focusing on the significant risks which are those with the potential to cause real harm and suffering and avoiding diverting resources on every day and societal risks.

5 http://www.hse.gov.uk/pubns/books/hsg48.htm
6 http://www.hse.gov.uk/pubns/books/l146.htm
7 http://www.hse.gov.uk/risk/principles.htm

Sensible risk management is concerned with:

- Understanding your institutions risk profile;
- Focusing on reducing significant risks – which are those which have serious consequences or arise frequently;
- Ensuring that those who create and own risks manage them responsibly;
- Ensuring that those who are managing risks have the knowledge, skills and experience to do so; and
- Ensuring that staff, students, contractors, visitors, and members of the public are properly protected.

Building on an assurance approach and linking to Health and Safety Management Profile (HASMAP)

HASMAP (Health and Safety Management Profile) is an audit tool developed for use in Higher Education Institutions (HEI) by the Universities Safety & Health Association (USHA). HASMAP is based on the Health and Safety Executives publication, Successful Health and Safety Management (HSG 65) and aligned to BS ISO 45001:2018 Occupational Health and Safety Management Systems.

The HASMAP provides an audit tool to develop an institution's health and safety management system and enables a flexible approach to measuring the level of assurance a HEI requires based on its risk profile.

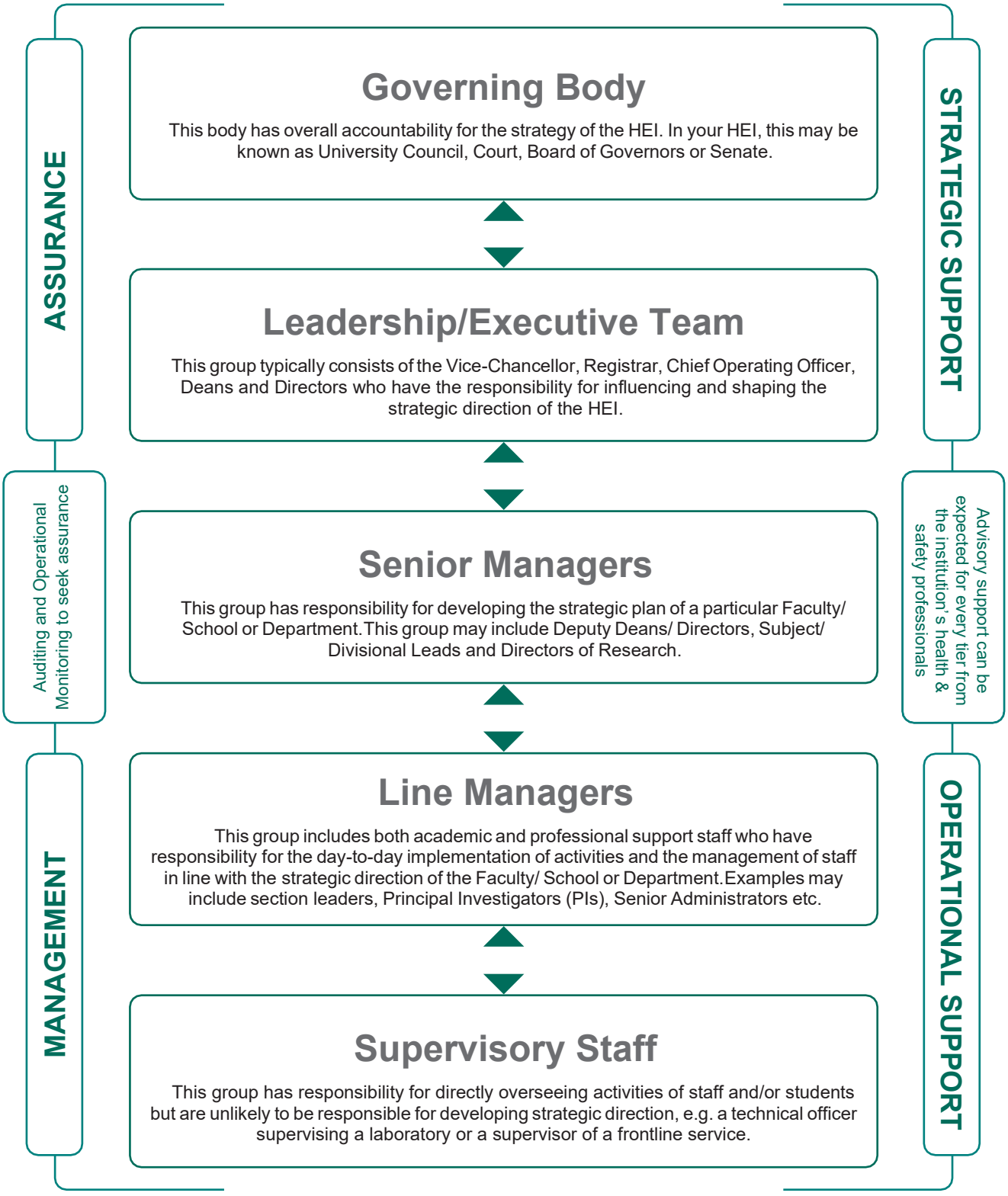
The HASMAP is an accompanying document to the USHA Standard, Leadership and Management of Health and Safety in Higher Education Institution.

Adoption of the HASMAP standard is not mandatory but will provide senior management within your institution with evidence-based objective assurance of good standards of health and safety management, rather than subjective reassurance.

Auditing and assurance should be seen to continually drive improvement on health and safety management aligned to the HEIs Strategy and should be seen to enhance reputation, constructive challenge and innovation.[8]

[8] CUC – HE – audit Committee – Code of Practice, 2020

Summary of management tiers and their role in health and safety leadership



Governing Body

The Governing Body has strategic oversight of all matters related to health and safety for their institution and should seek assurance that effective arrangements are in place and are working.

The information below details practical guidance that will assist in ensuring members of the Governing Body satisfy themselves that the HEI meets its health and safety responsibilities.

Plan

- Ensure health and safety matters are communicated in a timely fashion to and from the Governing Body.
- Review your HEI's Health and Safety Policy on a regular basis.
- Review your HEI's health and safety objectives/KPIs on a regular basis.
- Be aware of significant health and safety risks faced by the organisation.
- Be aware of significant wellbeing risks faced by the organisation.
- Consider the health and safety implications of strategic decisions such as large projects.

Do

Seek assurances that:

- Health and safety arrangements are adequately resourced;
- Risk control measures are in place and acted on;
- There is an effective process to identify training and competency needs in keeping with health and safety responsibilities;
- There is a process to review business continuity arrangements, emergency and fire evacuation plans for effectiveness;
- There is a process for auditing health and safety performance;
- There is a forum such as a separate risk management or health and safety committee as a subset of the Governing Body, chaired by a member of the leadership /executive team to oversee health and safety;
- Your HEI has access to competent health and safety advice; and
- There is a process for employees or their representatives to be involved and engaged in decisions that affect their health and safety.

GOVERNANCE

GOVERNANCE

Check	• Receive and reasonably evaluate leading and lagging data relevant to health and safety; and where appropriate, ask for data on process (preventative & maintenance) and competency indicators. • Ensure that management systems allow the Governing Body to receive assurances about all University activities (including significant partnerships, collaborations and wholly owned companies).
Review	• Be satisfied that there are regular independent reviews of Health & Safety management across the HEI. • Seek satisfaction that lessons are learnt from accidents and near-misses. • Review audit processes to ensure that they are appropriate for your HEI (see resources). • Regularly review your HEI's health and safety risk profile.

What to expect from your health and safety professional

From a centrally based individual or team you should require:

- Annual reports and / or quarterly reports on health and safety;
- Briefing sessions or papers on significant events and changes to legal requirements;
- Formal or informal training for the Governing Body;
- Submission of HEI KPIs; and
- Provision of contextual information about comparisons with sector norms and statistical information.

Resources

HSE:

http://www.hse.gov.uk/

UCEA:

health & safety documents http://www.ucea.ac.uk/

The Higher Education code of governance:

https://www.universitychairs.ac.uk/wp-content/files/2018/06/CUC-HE-Code-of-Governance-publication-final.pdf

Leadership / Executive Team

As a leader of the HEI, it is reasonable to expect that you will demonstrate the same leadership qualities in health and safety as you do in your academic/professional field. Making sure that staff, students, visitors and contractors are safe is an essential part of managing risk and the leadership/executive team has an influential part to play.

Although accountability will rest with you, you will normally delegate the responsibility of operational aspects for health and safety management to other tiers of managers.

However, you must implement a process to provide assurances to the Governing Body that these responsibilities are being fulfilled.

Plan

- Establish an HEI health and safety committee.
- Sign up to your HEI's health and safety policy statement as a demonstration of ownership and communicate its values throughout your HEI.
- Agree how the policy will be measured, monitored and reported, through the development of appropriate KPIs.
- Allocate sufficient resources to the management of health and safety.
- Set health and safety objectives for your leadership team.
- Agree the health and safety risk register by using a risk profiling exercise.
- Ensure that the occupational health service is integrated into your HEI's health and safety management system.
- Determine what health and safety risks should be included in your business risk register.
- Agree an HEI-wide health and safety competency framework.
- Agree an HEI-wide health and safety internal auditing program based on your health and safety risk profile.
- Ensure emergency procedures encompass all relevant risks.
- Consider the health and safety implications of strategic decisions such as large projects.
- Agree a process to have statutory compliance management system in place as part of your HEIs Health and Safety Action Plan and agree measures for delivery of the plan.

Do

- Develop, consult and implement your HEI's Health and Safety Policy.
- Have a regular communication meeting with your HEI's competent health and safety professional(s).
- Define the membership (in line with appropriate regulations) and Terms of Reference of your HEI's Health and Safety Committee.
- Chair your HEI's Health and Safety Committee.
- Lead on campaigns to raise health and safety awareness and behaviour change.
- Discuss Health and Safety issues and performance with your direct reports and at performance/development reviews.
- Lead by example e.g. take an interest in Health and Safety activities.
- Follow local procedures and ask about health and safety issues and how they are managed (see resources section) when on tours or visits.

STRATEGIC MANAGEMENT

STRATEGIC MANAGEMENT

Check

- Check that your processes are working.
- Enquire with your direct reports as to whether appropriate health surveillance is in place for occupational illnesses.
- Confirm that your direct reports are aware of inspections and investigations in their departments, and any actions upon recommendation.
- Accompany your direct reports on an inspection or visit during the year.
- Receive and review performance data such as KPIs.
- Check if you are delivering on your own objectives and those set by your leadership team. Use your performance development process for this.
- Review deployment of resources e.g. are they sufficient, competent and effective.

Review

- Review your health and safety performance and that of your direct reports. Celebrate their achievements and take corrective action where targets are not being met.
- Share the results with staff and students – seek their views on improvements.
- Respond to reports, audits, health and safety committee recommendations and inspections from external and internal stakeholder's e.g. insurance providers, trade union safety representatives, regulators and central health and safety staff.
- Use the information to review your planning process.
- Check that all actions and recommendations from Health and Safety monitoring e.g. internal and external audits and inspections are implemented.

What to expect from your health and safety professional

From a centrally based individual or team you should require:

- Annual reports and / or quarterly reports on health and safety;
- Briefing sessions or papers on significant events, and changes to legal requirements;
- Development of a set of HEI KPIs including leading and lagging indicators;
- Facilitate and advise on the development of a health & safety risk register;
- Contextual information about comparisons with sector norms and statistical information;
- Develop a health and safety competency and training framework;
- Internal health and safety audits based on programmes agreed with the leadership team; and
- Advice on interpretation of health and safety legislation and best practice.

Resources

Health & Safety Executive: http://www.hse.gov.uk/index.htm

Risk assessments: http://www.hse.gov.uk/pubns/indg163.pdf

Management for Health & Safety: http://www.hse.gov.uk/pubns/priced/hsg65.pdf

Health and safety representatives have functions given by law.

- If you are a trade union-appointed health and safety representative, your functions are set out in the Safety Representatives and Safety Committees Regulations 1977
- If you are a representative of employee safety, your functions are set out in the Health and Safety (Consultation with Employees) Regulations 1996
- Consulting with Employees (HSG 263) can provide some practical advice

UCEA health & safety documents: http://www.ucea.ac.uk/en/publications/index.cfm

Senior Managers

As a senior manager of your HEI, you are expected to implement your local safety management arrangements and manage risks to protect staff, students, visitors and contractors working in your faculty/school or department.

You need a clear understanding and oversight of the operations and activities undertaken in your faculty/school/department so that you are well placed to define the most appropriate local safety structures to ensure integration with the overall strategic direction of your faculty/school or department.

Plan

- Align your faculty/school or department health and safety plan to the institution's strategy.
- Agree a health and safety risk register by using a risk profiling exercise.
- Include appropriate health and safety risks in your faculty/school or department business risk register.
- Define the membership and governance arrangements (including trade union representation) and terms of reference for your local health and safety committee.
- Ensure consultation involves trade union representatives and all relevant stakeholders including student representatives.
- Ensure that induction arrangements include all relevant information for all new starters.
- Plan your arrangements to manage health and safety e.g. set up committee meetings, monitoring processes, determine KPIs, and identify training, competency and development needs.
- Plan that you, your staff, students, contractors and others have appropriate training for their role.
- Assign sufficient resources (competent personnel, with enough time and facilities). Include specialist support from occupational health, Radiation Protection Advisers, Biosafety specialists etc. where needed.
- Plan arrangements to ensure the health and safety of all persons who may be affected, including contractors, students and visitors.

Do

- Put in place processes to ensure all activities are appropriately risk assessed and controls are implemented.
- Ensure responsibilities are delegated and understood for tasks such as the completion of risk assessments.
- Chair, or ensure that one of your senior managers chairs, your local health and safety committee; attend the committee.
- Produce and communicate your annual health and safety plan.
- Have a regular communication meeting with your local safety adviser.
- Have oversight of accident and incident investigations.
- Agree health and safety competency and development needs of all your staff and set a training objective e.g. using a training matrix or competency development framework with your senior team.
- Assess the health and safety impact of new projects at planning stages e.g. when proposing refurbishment of an area or procurement of an IT system.
- Ensure all staff, students and contractors have training appropriate to their role.
- When purchasing equipment, consider the health and safety requirements / implications – set-up, use, maintenance, inspection & servicing.
- Embed health and safety arrangements during procurement of contractors.

OPERATIONAL / STRATEGIC MANAGEMENT

OPERATIONAL / STRATEGIC MANAGEMENT

Check

- Attend safety inspections of your area at appropriate intervals.
- Check that agreed health and safety training objectives are being met. Use your appraisal or performance development process to assist you.
- Analyse safety information data to identify emerging trends in the faculty/school or department such as accident, sickness absence and training data.
- Check people have training to become competent (i.e., have the knowledge, skills and experience) in their role.
- Keep staff informed by monitoring progress and actively seek their views on improvements e.g. via your local safety committees.
- Check that all actions and recommendations from Health and Safety monitoring e.g. internal and external audits and inspections are implemented.

Review

- Review risk management processes regularly.
- Take action to implement recommendations from your risk management review.
- Consider information from external and internal sources e.g. audits, inspections by central health and safety staff, and how corrective actions/recommendations are to be implemented.
- Review your own health and safety performance and that of your direct reports and celebrate their achievements.
- Use the information to review your planning process.
- Review the training matrix and attendance to ensure it is effective.

What to expect from your health and safety professional

This should be a joint approach with significant contributions from local safety appointments, especially for specific hazards such as radiation, biohazards/Genetic Modification risks, Display Screen Equipment Assessors (DSE), etc. and support from centrally based individual or team.

- Communications about significant events, changes to legal requirements of relevance to your faculty / school / directorate.
- Attendance at health and safety committees or other meetings where health and safety is discussed.
- Facilitate and advise on the development of a health & safety risk register.
- Information about accidents and incidents occurring in your faculty / school / department.
- Guidance on how to investigate incidents and health and safety issues.
- Action plans and recommendations from investigations.
- Advice on management actions and proportionate responses to incidents.
- Advice on interpretation of health and safety legislation and best practice.
- Training courses or delivery of presentations and information.
- Completion of faculty/school/directorate returns of KPIs.
- Assistance to managers during external audits, inspections, etc.

Resources

Health & Safety Executive: http://www.hse.gov.uk/index.htm

Management for Health & Safety: http://www.hse.gov.uk/pubns/priced/hsg65.pdf

Health and safety representatives have functions given by law.

- If you are a trade union-appointed health and safety representative, your functions are set out in the Safety Representatives and Safety Committees Regulations 1977
- If you are a representative of employee safety, your functions are set out in the Health and Safety (Consultation with Employees) Regulations 1996
- Consulting with Employees (HSG 263) can provide some practical advice

UCEA Health & Safety Documents: http://www.ucea.ac.uk/en/publications/index.cfm

Line Managers

As a line manager in a faculty / school or department you are expected to implement your local health and safety management arrangements, and to monitor and check their effectiveness.

Plan

- Set reasonable objectives to cover your area of responsibility, including allocation of work on risk assessments based on your senior manager's plan.
- Develop or use existing communication processes (e.g. team meetings) to keep your team informed and receive information back from team members.
- Plan deployment of resources to achieve your health and safety objectives such as training.

Do

- Implement your local health and safety policy and arrangements.
- Carry out the health and safety plan and objectives.
- Ensure risk assessments are undertaken, recorded and reviewed; that staff, contractors and students are following all safe systems and control measures.
- Provide induction training for all staff and students in accordance with your training and competency framework.
- Ensure any new processes are properly risk assessed before implementation.
- Ensure all new equipment is checked for hazards, and users are trained on safe systems of work and risk control measures.
- Implement your health and safety training objectives identified in your health and safety plan or from your risk assessments.
- Provide staff with health surveillance if identified in risk assessments.
- Lead a programme of inspections and be involved in audits when asked.
- Take appropriate action when health and safety is likely to be compromised; if necessary, suspending an activity pending reassessment of the risk.
- Keep yourself up to date with health and safety requirements for your area of responsibility. Use UCEA and USHA guidance on specific sector risks to support you.
- Have an annual program for statutory testing of equipment, as required for local exhaust ventilation, pressure systems and lifting equipment.
- Respond to external influences such as Health & Safety Executive (HSE) or other regulatory body visits, audits and changes in legal requirements.

OPERATIONAL MANAGEMENT

OPERATIONAL MANAGEMENT

Check

- Monitor that risk assessments have been carried out, recorded and control measures are effectively implemented; you could do this through observation monitoring or during inspections.
- Check that all statutory examinations are carried out within the prescribed timescales and that requirements and recommendations are acted upon (e.g. local exhaust ventilation, pressure systems and lifting equipment).
- Monitor the completion/progress of actions arising from audits and inspections.
- Check your own progress and achievements against your health and safety plan and objectives.
- Monitor your training plans and safety inductions. Use your appraisal process for this.
- Analyse safety information data to identify emerging trends in your area of responsibility e.g. accidents, sickness absence, training data.
- Report on findings of inspections and actions undertaken to the local health and safety committee. Use your safety information data to present information and discuss trends.

Review

- Review actions arising from audits to ensure they have been completed or progress is being monitored.
- Embed learning points from accidents and incidents, updating risk assessments as appropriate.
- Contribute to your faculty/school/department annual safety review.
- Use the information to review your planning process.

What to expect from your health and safety professional and your appointed role holders

This should predominantly come from your local safety appointments and may also include limited input from a centrally based individual or team.

- Communications about significant events, changes to legal requirements of relevance to your faculty / school / department.
- Attendance at local health and safety committees or other meetings where health and safety is discussed.
- Information about accidents and incidents occurring in your faculty / school / department.
- Participation in discussions to resolve local health and safety issues.
- Action plans and recommendations from investigations.
- Advice on management actions and proportionate responses to incidents.
- Advice on interpretation of health and safety legislation and best practice.
- Training courses or delivery of presentations and information.
- Completion of faculty / school / department returns of KPIs.
- Assistance to managers during audits, inspections, etc.

Resources

Health & Safety Executive: http://www.hse.gov.uk/index.htm

Risk assessments: http://www.hse.gov.uk/pubns/indg163.pdf

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UCEA health & safety documents: http://www.ucea.ac.uk/en/publications/index.cfm

Supervisory Staff

As a staff member with supervisory responsibility in a faculty / school / department you are expected to monitor and check that the local arrangements and rules are being followed.

A critical aspect of this role is to ensure that any concerns with the effectiveness of local health and safety arrangements are communicated to the appropriate person to ensure continual improvement of your health and safety management system.

OPERATIONAL MANAGEMENT

Plan	• Ensure that you understand local safety policy and procedures. • Plan any skill, knowledge or refresher training for yourself and your team, and students where appropriate, based on faculty / school / departmental training objectives and competency framework. • Think about how procedures based on risk assessments can be effectively communicated. • Plan your resources and ensure all staff understand what is expected of them.
Do	• Ensure staff and students are aware of and follow all relevant safe systems. • Ensure visitors and contractors are provided with relevant health and safety information. • Develop clear and concise procedures and include key safety information in them. • Implement aspects of the health and safety plan that relate to your area. • Ensure that you and your team, and students where appropriate, have received induction training and relevant training appropriate to their activities/studies. • Raise any health and safety concerns or non-conformance through your line-management structure. • Be involved in local workplace inspections and local safety committees. • Provide feedback on health and safety issues. • Be involved in accident/incident/near miss investigations.
Check	• Ensure your risk assessments have been carried out, are up to date, reviewed; recorded, and that control measures are effectively implemented and understood. • Ensure your actions arising from audits and inspections have been completed or monitor progress. • Check that your safety critical equipment maintenance and inspections are up to date before you use it. • Check that you are meeting the health and safety objectives and plan.
Review	• Provide feedback on your health and safety performance to your line manager and celebrate achievements. • Review accidents and incidents and ensure lessons learnt from investigations are embedded into revised procedures. • Contribute on request from your line manager to your local annual safety review. • Use the information to review your planning process.

What to expect from your health and safety professional and your appointed role holders

This should primarily come from your local safety appointment. However limited input from a centrally based individual or team may be required in particular circumstances.

- Communications about significant events, changes to legal requirements of relevance to your faculty / school / department.
- Attendance at local health and safety committees or other meetings where health and safety is discussed.
- Information about accidents and incidents occurring in your faculty / school / department.
- Participation in discussions to resolve local health and safety issues.
- Action plans and recommendations from investigations.
- Advice on management actions and proportionate responses to incidents.
- Advice on interpretation of health and safety legislation and best practice.
- Training courses or delivery of presentations and information.
- Contribute to your faculty / school / department returns of KPIs.
- Assistance to managers during audits, inspections, etc.

Resources

Health & Safety Executive: http://www.hse.gov.uk/index.htm

Risk assessments: http://www.hse.gov.uk/pubns/indg163.pdf

Management for Health & Safety: http://www.hse.gov.uk/pubns/priced/hsg65.pdf

Health and safety representatives have functions given by law.

- If you are a trade union-appointed health and safety representative, your functions are set out in the Safety Representatives and Safety Committees Regulations 1977
- If you are a representative of employee safety, your functions are set out in the Health and Safety (Consultation with Employees) Regulations 1996
- Consulting with Employees (HSG 263) can provide some practical advice

UCEA health & safety documents: http://www.ucea.ac.uk/en/publications/index.cfm

Glossary

Competent person

A 'competent person' is someone who has the necessary training, knowledge, experience, expertise and/or other qualities to complete their allotted task safely and effectively.

Corporate Manslaughter

The Corporate Manslaughter and Corporate Homicide Act 2007 enables a corporate entity to be prosecuted if it can be proven that there was a gross breach of a relevant duty of care by 'senior management' which leads to a person's death. Senior Managers are defined as those persons who play a significant role in the management of the whole or a substantial part of the organisation's activities.

The legislation places no new duties or responsibilities upon companies and organisations but does potentially increase the penalties and moral opprobrium in circumstances where gross causative breaches of health and safety have been identified.

Companies and organisations that manage their Health and Safety responsibilities effectively are not likely to be in breach of this legislation. However, it is important for companies to keep their arrangements under review, particularly the way senior management manages and organises activities.

GuildHE

GuildHE is alongside UUK a formal representative body. www.guildhe.ac.uk

Health & Safety at Work etc. Act 1974

This is the principal enabling Act of Parliament, under which more specific and detailed relevant statutory provisions are made.

A list of current legislation is at http://www.hse.gov.uk/legislation/index.htm

Higher Education Governance (Scotland) Act 2016

https://www.legislation.gov.uk/asp/2016/15/contents/enacted

Scottish Code of Good Higher Education Governance (2017 edition)

http://www.scottishuniversitygovernance.ac.uk/wp-content/uploads/2016/08/Scot-Code-Good-HE-Governance-A4.pdf

Health and Safety Executive (HSE)

The health and safety regulator for most of the HE sector. See www.hse.gov.uk

Key publication:

Managing for Health and Safety (HSG65)

HASMAP

Health And Safety Management Profile, a sector management tool that can be used to measure performance.

Advance HE

This HE association is committed to developing and improving the management and leadership skills of existing and future leaders of higher education. Wherever the opportunity arises we shall work in partnership with a range of organisations within and outside of higher education for the benefit of the sector. https://www.advance-he.ac.uk/

Lead and Lag data or indicators

Information relating to health and safety performance indicators such as accident rates, near miss rates, training records, audit and inspection results, preventative maintenance records, behaviours, workdays lost to occupational illness or injury, civil claims records, etc.

Risk Profile

The risk profile of an organisation informs all aspects of the approach to risk management, including leading and managing its health and safety risks.

Every organisation will have its own risk profile. This is the starting point for determining the greatest health and safety issues for the organisation. In some businesses the risks will be tangible and immediate safety hazards, whereas in other organisations the risks may be health – related and it may be a long time before the illness becomes apparent.

A risk profile examines:

- the nature and level of the threats faced by an organisation;
- the likelihood of adverse effects occurring;
- the level of disruption and costs associated with each type of risk; and
- the effectiveness of controls in place to manage those risks.

The outcome of risk profiling will be that the right risks have been identified and prioritised for action, and minor risks will not have been given too much priority. It also informs decisions about what risk control measures are needed.

RCUK

Research Councils UK is the strategic partnership of the UK's seven Research Councils that invest in research in a range of academic disciplines. Their Policy and Guidelines on Governance of Good Research Conduct is at www.rcuk.ac.uk/publications/researchers/grc/

Researcher Development Framework

Vitae framework: https://www.vitae.ac.uk/researchers-professional-development/about-the-vitae-researcher-development-framework

Responsible Research

Guidance on managing health and safety in research https://www.ucea.ac.uk/library/publications/Responsible-Research-Managing-Health-and-Safety-in-Research/

Researcher Development Framework

Employers have a duty to consult with their employees, or their representatives, on health and safety matters. The law sets out how employees must be consulted in different situations and the different choices employers have to make. There are two different regulations that require employers to consult their workforce about health and safety:

Safety Representatives and Safety Committees Regulations 1977

Health and Safety (Consultation with Employees) Regulations 1996

Safety Culture

See Institution of Occupational Safety and Health (IOSH): Promoting a positive culture – a guide to health and safety culture.

"So far as is reasonably practicable", SFAIRP

The HSWA, alongside other safety legislation, imposes certain duties and responsibilities on employers and duty holders with respect to the health, safety and welfare of their employees and others who may be affected by their activity.

Some of these duties are 'absolute' and must be complied with, such as the duty of employers to *"undertake a suitable and sufficient risk assessment"* of work-related risks. But some are qualified by the phrases 'so far as is practicable' and 'so far as is reasonably practicable'. The meanings of these phrases have been established by case law.

To carry out a duty 'so far as is reasonably practicable' means that the degree of risk in a particular environment or activity can be balanced against the time, trouble, cost and physical difficulty of taking measures to avoid the risk. The greater the risk, the greater the rigour that may be expected to control it.

The duty to take reasonably practicable measures is one of the most widespread requirements in modern UK health and safety law. One example can be seen in Section 13 of the Workplace (Health, Safety and Welfare) Regulations 1992, where it states that reasonably practicable measures should be put in place to stop people falling or being struck by falling objects in the workplace.

'So far as is practicable', without the word 'reasonably', implies a stricter standard. This duty embraces whatever is technically possible in light of the knowledge that the duty holder had, should have had, or had access to at that time (ignorance is no defence). The cost, time and trouble involved must not be taken into account. Again referring to the risks of falls, Section 13 of the Workplace Regulations goes on to stipulate: "So far as is practicable, every tank, pit or structure where there is a risk of a person in the workplace falling into a dangerous substance in the tank, pit or structure, shall be securely covered or fenced."

Strict liability

Strict liability, sometimes called absolute liability, is the legal responsibility for damages or injury, even if the person found strictly liable was not at fault or negligent – i.e. they had no guilty intent. Strict liability has been applied to holding an employer liable for the wrongful acts of their employees.

Committee of University Chairs, CUC

CUC publish the Higher Education Code of Governance, December 2014.

https://www.universitychairs.ac.uk/wp-content/files/2018/06/CUC-HE-Code-of-Governance-publication-final.pdf

Eversheds Sutherland

Eversheds Sutherland is a tier 1 ranked law firm operating in the safety and education space. The Firm's Head of EHS practice, Paul Verrico, has served as legal reviewer of this standard. www.eversheds-sutherland.com

UCEA

The Universities and Colleges Employers Association (UCEA) is a membership organisation established to meet the needs of UK HE providers in their roles as employers. UCEA provides advice and guidance to its members on employment, reward and human resources practice, including health and safety. www.ucea.ac.uk

USHA

The Universities Safety and Health Association (USHA) is an organisation for the promotion of safety and health in higher education. Membership is primarily open to higher education institutions, both in the UK and from further afield. Membership is also available to research institutions and related organisations on request. www.usha.org.uk

UUK

Universities UK (UUK is a representative organisation for UK's universities. Its primary role is to support its members to achieve their aims and objectives, and to help maintain the world leading strength of UK Universities sector as a whole. www.universitiesuk.ac.uk

Disclaimer

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Universities UK

"The safety of the students, staff and visitors on our university campuses is of the utmost importance. This standard provides practical and up-to-date advice on how to make sure this work is embedded across the whole university".

Vivienne Stern, MBE,
Chief Executive,
Universities UK

"Leadership is an essential cornerstone in ensuring the effective management of health and safety. These standards are supported by HSE as they set out a sensible and proportionate approach to managing health and safety effectively"

Health and Safety Executive

Higher Education Safety and Health Forum

HSE, UCEA, UCU, UNISON, USHA and UNITE

UCEA Health and Safety Committee

PVC, Advance HE, AHUA , AMOSSHE ,AUDE , AURPO , BUFDG, CUBO, HEBCoN, HEOPS , Guild HE, MSC, UHR , UUK, USHA

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