

# Leadership and management of health and safety in higher education institutions



*In partnership with*



UNIVERSITIES & COLLEGES  
EMPLOYERS ASSOCIATION

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Universities UK



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## Using this guidance

You can use this guidance 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**<sup>1</sup>. This approach is no different to management processes used across HEIs for other purposes, such as procurement, applying for research bids or developing institutional strategies.

This guidance 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 guidance 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 document. 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 guidance 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 document, the terms 'ensure' and 'must' are used to identify essential behaviours and traits of effective health and safety management<sup>2</sup>.

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

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<sup>1</sup> Many institutions use the term "review" in place of "act" to avoid confusion between "do" and "act".

<sup>2</sup> See page 6 of <http://www.universitychairs.ac.uk/wp-content/uploads/2014/12/Published-Version.pdf>

# Forewords

## Foreword from the Chair of the Reviewing Panel

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 an example for all to follow. Making sure our students, staff, visitors and contractors are safe is an essential part of managing risk in your HEI. This guidance replaces the health and safety management code of best practice<sup>3</sup> (2001). Much has changed since that guidance was introduced, and this is reflected in the different approach taken here. This new guidance 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 UCEA/USHA version of the Institute of Directors (IOD) guidance Leading Health and Safety at work<sup>4</sup> (published in 2008) is still a relevant document for HEIs to use.

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. Examples of KPIs and other resources will be located on the USHA website as a toolbox. The authors would welcome examples of KPIs and management documents that can be added to an online toolkit in the future to enrich the document and add to the body of knowledge and practice in this area.

We promote this document to all leaders and managers in HEIs as a tool to embed good health and safety management at each tier of the HEI. Examples of good practice will be available on the USHA website and we hope that more examples will be added to the toolbox to enable continuous improvement within HEIs.

## Monica Kanwar

Chair of the Reviewing Panel, USHA  
Director of Occupational Health and Safety, University of Hertfordshire

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

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

## **Foreword from the Chair, Universities and Colleges Employers Association Health and Safety Committee**

The leadership and management of health and safety in higher education is an integral part of achieving effective health and safety in our institutions. This document is the latest in a series of materials produced by Universities Safety and Health Association in partnership with the Universities and Colleges Employers Association.

It replaces management guidance produced in 2001 and is a significant step change in approach to the leadership and management of health and safety in the sector. This guidance is written specifically for leaders and managers at various levels within Higher Education institutions. It provides a practical approach to leading on health and safety, focusing on the types of behaviours and actions that make a difference to our organisations' health and safety culture through active and visible leadership. The structure of the document is designed so that it can be used by each tier of management independently or as a whole.

I would like to thank the members of the HESH (Higher Education Safety and Health) forum and the UCEA Health and Safety Committee for their input and engagement during the development of this guidance.

Institutions are of course free to choose how they apply this guidance. However, we hope it will be a useful resource to leaders and managers in HEIs.

### **Professor Chris Gaskell**

Chair, Universities and Colleges Employers Association Health and Safety Committee  
Principal, Royal Agricultural University

# Introduction

This guidance is aimed at governing bodies, leaders and all tiers of managers in Higher Education institutions (HEIs). It replaces the health and safety management code of best practice, UCEA and USA (now USHA) publication (2001).

In particular, it focuses on the behaviours associated with a positive health and safety culture and how you can demonstrate commitment to health and safety at institutional, faculty, school or department level.

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. There is a shared understanding of the risks and a positive attitude to managing health and safety. This influences the way in which an organisation undertakes all its activities.

Key components of a good health and safety culture are:-

- visible commitment by top management;
- transparent methods of informing and consulting with the workforce;
- recognition of the fact that everyone has a role to play;
- co-operation between employees;
- open two-way communications, and
- high quality of training. Ref: HSG 48<sup>5</sup>

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;
- an understanding of the health and safety risk profile of the institution;
- clearly defined responsibilities and accountabilities for all staff;
- effective communication and consultation on health and safety;
- 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 they be positive or negative;
- to hold the right people to account 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 system and assist with its implementation.

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<sup>5</sup><http://www.hse.gov.uk/pubns/books/hsg48.htm>

The importance for consultation and involvement of safety representatives and staff representatives in accordance with HSE regulations and guidance<sup>6</sup> 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 document 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.

An understanding of HSE's<sup>7</sup> 'sensible risk management' principles is important to be able to put into context how health and safety should be managed effectively.

## Sensible risk management is concerned with:

- > Enabling innovation and learning and not stifling them;
- > Ensuring that workers and the public are properly protected;
- > Providing overall benefit to society by balancing benefits and risks, with a focus on reducing real risks - both those which arise more often and those with serious consequences;
- > Ensuring that those who create risks manage them responsibly and understand that failure to manage real risks responsibly is likely to lead to robust action;
- > Enabling individuals to understand that as well as the right to protection, they also have to exercise responsibility.

## Link to HASMAP

HASMAP<sup>8</sup> (Health and Safety Management Profile) is a management standard developed for use in HEIs by USHA and has been endorsed by UCEA as a scheme for measuring health and safety management performance within Higher Education.

Originally launched in 2007 and used successfully by a number of HEIs to develop their health and safety management systems, has been reviewed and updated. The changes reflect the HSE's revised 'HSG 65 - Managing for Health and Safety guidance, the British Standard 'BS OHSAS 18001 - Occupational Health and Safety Management' and this guidance.

This guidance provides broad requirements for best practice in Health and Safety management; HASMAP sets out the detailed standards for each aspect of a Health and Safety Management System. The two documents can be used to support each other.

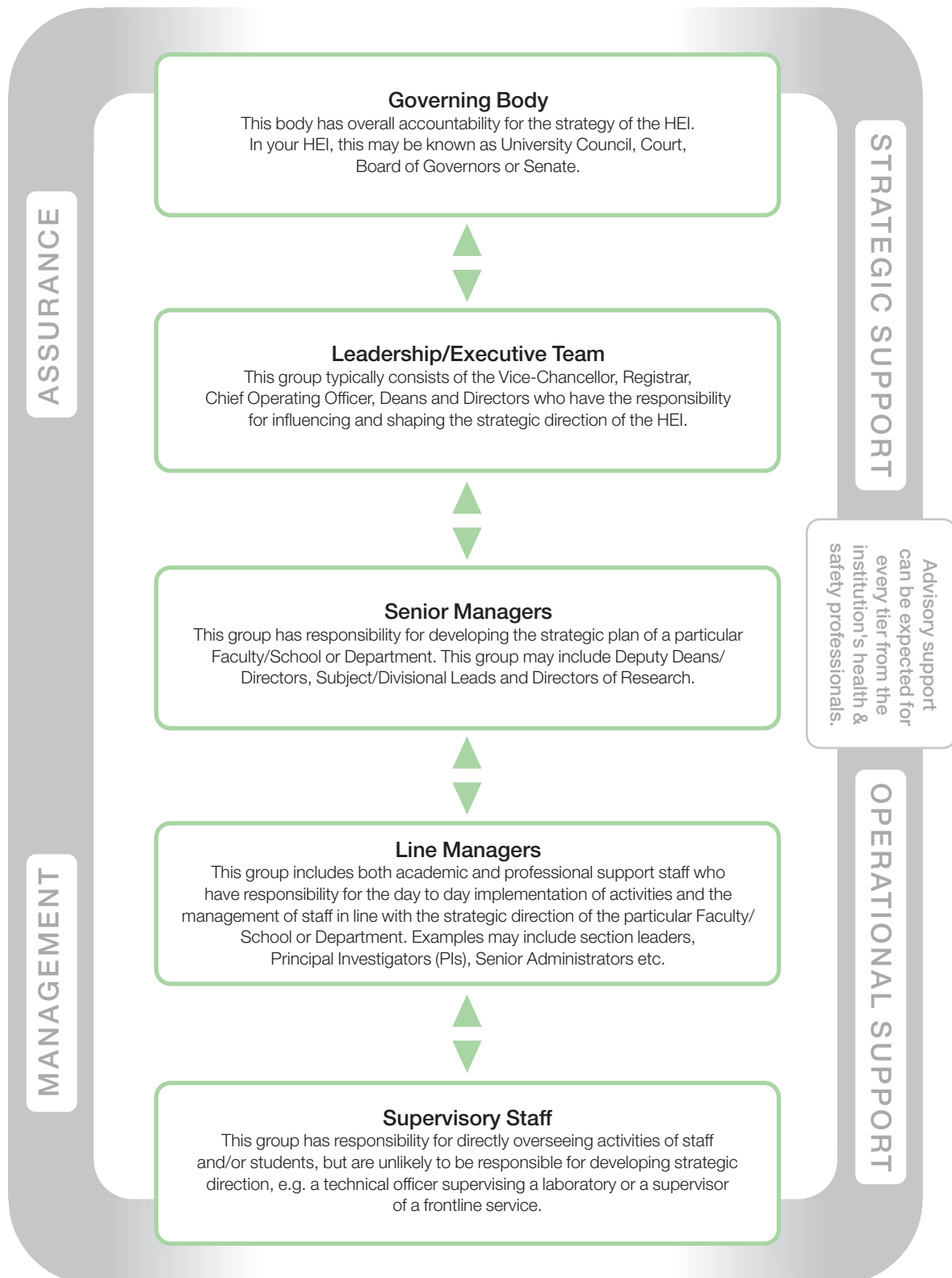
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<sup>6</sup><http://www.hse.gov.uk/pubns/books/l146.htm>

<sup>7</sup><http://www.hse.gov.uk/risk/principles.htm>

<sup>8</sup>HASMAP will be available to member HEIs from [www.usha.org.uk](http://www.usha.org.uk)

# 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 their health and safety responsibilities.

## PLAN

Ensure health and safety matters are communicated in a timely fashion from and to 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.

Ensure that health and safety appears regularly on the agenda of governing body meetings.

Be aware of significant health and safety risks faced by the organisation.

Consider the health and safety implications of strategic decisions such as large projects.

Ensure that emergency planning arrangements are kept up to date.

## DO

Seek assurances that:

health and safety arrangements are adequately resourced;

risk control measures 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 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.

there is a process for employees or their representatives to be involved and engaged in decisions that affect their health and safety.



**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**

To be satisfied that there are regular independent reviews of Health & Safety management across the HEI.

Be satisfied that lessons are learnt from accidents and near-misses.

Review audit processes to ensure they are appropriate for your HEI (see resources).

Regularly review your HEI's health and safety risk profile.

**RESOURCES**

HSE <http://www.hse.gov.uk/>

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

The Higher Education code of governance

<http://www.universitychairs.ac.uk/wp-content/uploads/2014/12/Published-Version.pdf>

**What to expect from your health and safety professional**

*From a centrally based individual or team:*

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

# 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 operational aspects of health and safety management to other tiers of managers. However, you must implement a process to gain assurances 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.

## STRATEGIC MANAGEMENT

## DO

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 (including trade union representation) 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.

On tours or visits, follow local procedures and ask about health and safety issues and how they are managed (see resources section).

## 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.

## 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>

*Consulting with Employees* <http://www.hse.gov.uk/pubns/indg232.pdf>

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

*Appendix* **Health & Safety Key Performance Indicators**

## What to expect from your health and safety professional

*From a centrally based individual or team:*

- > Annual reports and / or quarterly reports on health and safety
- > Briefing sessions or papers on significant events, change 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 e.g. HESA data
- > Develop a health and safety competency and training framework
- > Internal health and safety audits based on programme agreed with the leadership team
- > Advice on interpretation of health and safety legislation and best practice

# 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 which will 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 (including trade union representation) and terms of reference for your local health and safety committee.

Ensure staff consultation involves all appropriate stakeholders including trade unions representatives and 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.

Assign sufficient resources (competent personnel, with enough time and facilities). Include specialist support from occupational health, Radiation Protection Advisers, Biosafety specialists etc where you need to.

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 competent 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.

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.

## 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, training data.

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 processes e.g. 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.

## RESOURCES

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

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

Consulting with Employees <http://www.hse.gov.uk/pubns/indg232.pdf>

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

USHA LINK FOR HEIs TO ADD EXAMPLES **Health & Safety Key Performance Indicators**

## 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, bio/GM, 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

# 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 and recorded, and 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.

Lead on investigations into accidents and other reports (e.g. near misses).

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, lifting equipment.

## 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, lifting equipment).

Monitor the completion/progress of actions arising from audits and inspections.

## CHECK

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.

Contribute to your faculty/school/department annual safety review.

Respond to external influences such as Health & Safety Executive (HSE) or other regulatory body visits, audits and changes in legal requirements.

Use the information to review your planning process.

## 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>

Consulting with Employees <http://www.hse.gov.uk/pubns/indg232.pdf>

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

## 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.

# 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.

## 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 issues of 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, 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 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.

## 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>

Consulting with Employees <http://www.hse.gov.uk/pubns/indg232.pdf>

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

## 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.

## Glossary

Here, you can find explanations of some terms, specific legislation, abbreviations and acronyms used in this document or in other health and safety management publications.

### 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.

### Emergency Planning

Resilience in Higher Education 2014 - an updated guide  
Association of University Chief Security Officers (AUCSO) <http://www.aucso.org.uk/>

### GuildHE

GuildHE is alongside UUK a formal representative body. [www.guildhe.ac.uk](http://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>

### Health and Safety Executive (HSE)

The health and safety regulator for most of the HE sector. See [www.hse.gov.uk](http://www.hse.gov.uk)  
Key publication:  
Managing for Health and Safety (HSG65)

### HASMAP

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

### HESA

Sector wide statistical body that gathers information including accident data.  
Higher Education Statistics Association  
[www.hesa.org.uk](http://www.hesa.org.uk)

### Ifhe

The Leadership Foundation (Ifhe) 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.  
<http://www.lfhe.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, work days 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
- 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/](http://www.rcuk.ac.uk/publications/researchers/grc/)

## Researcher Development Framework

Vitae framework:

[www.vitae.ac.uk/researchers-professional-development/about-the-vitae-researcher-development-framework](http://www.vitae.ac.uk/researchers-professional-development/about-the-vitae-researcher-development-framework)

## Responsible Research

Guidance on managing health and safety in research

[www.ucea.ac.uk/en/publications/index.cfm/mhandsr](http://www.ucea.ac.uk/en/publications/index.cfm/mhandsr)

## 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 HSW Act and other safety legislation impose 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.

[www.universitychairs.ac.uk](http://www.universitychairs.ac.uk)

## 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](http://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](http://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.uuk.ac.uk](http://www.uuk.ac.uk)

*“Governors and governing bodies have ultimate responsibility for ensuring that higher education institutions meet their responsibilities as safe and secure environments as places of study but also of work. Bringing this information together in a format which governors can engage with is incredibly helpful as they discharge their crucial responsibility in this arena.”*

**Aaron Porter**, Associate Director (Governance), Leadership Foundation

*“Universities play host to large numbers of students, staff and visitors on campuses every day, and their safety is of paramount importance to institutions. This new guidance provides practical and updated advice for all those involved in health and safety management in universities. It will help further cement a positive health and safety culture in higher education institutions.”*

**Nicola Dandridge**, Chief Executive of Universities UK

*“This is a clear and practical resource that will help leaders at all levels embed effective health and safety management across their institutions.”*

**Gordon McKenzie**, CEO, GuildHE

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## **Reviewing Panel**

Paul Bradley, Head of Health and Safety, Cranfield University  
Monica Kanwar, Director of Occupational Health and Safety, University of Hertfordshire  
Clive Parkinson, Director of Health and Safety, University of Surrey  
Dr Melanie Taylor, Head of Safety Services, University of Manchester  
Anthony Scott, Director of Health and Safety, King's College London

## **Former members**

Lee Dewhurst, Former Head of Health and Safety, University of Leeds  
Allan Watson, Former Director of the Health and Safety Service, Durham University