Leadership and management of health and safety at the University of Warwick

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Leadership and the management of health and safety at the University of Warwick

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Introduction

Health and Safety accountabilities and responsibilities are outlined within the University's Health and Safety Policy document. This document complements the Health and Safety Policy, insofar as it provides further information for those with health and safety responsibilities on what **behaviours** are expected of them in relation to their respective roles in order that **commitment** to health and safety can be demonstrated and the **health and safety culture** at Warwick enhanced.

It is recognised that the development of the University's health and safety culture is a long term initiative, and that some of the accountabilities and responsibilities identified within this document have not previously been articulated in such terms. As such those with accountabilities and responsibilities will require training, support and access to data and tools to meet the expectations placed on them: the Health and Safety Department are responsible for developing systems so that key individuals are provided with such training, support, data and tools going forward.

This guidance is based on Higher Education sector guidance developed by the Universities Safety and Health Association (USHA) and the Universities and Colleges Employers Association (UCEA), and which is also endorsed by Universities UK. The guidance is aimed at leaders and all tiers of managers in Higher Education and focuses on the behaviours associated with a positive H&S culture and how commitment to H&S can be communicated at institutional, faculty, school or department level.

The USHA/UCEA guidance has been developed in line with the requirements set out in the Health and Safety Executives document 'Leading Health and Safety at Work (INDG 417), which follows a Plan, Do, Check and Review model.

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. Key components of a good H&S culture include:

- visible commitment by top management;
- recognition of the fact that everyone has a role to play;
- provision of high quality health and safety training.

An essential element of a good health and safety culture is a clearly defined health and safety management system, which would include and institutional commitment to the following elements:

- provision of working conditions which help prevent of work related injury and ill health;
- a shared understanding of the health and safety risk profile of the institution;
- clearly defined responsibilities and accountabilities for all staff;
- effective communication and consultation, and active participation by all staff, staff representatives and students, on health and safety matters;
- development of health and safety competency across the institution;
- 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.

Health and safety professionals are best placed to advise on the general architecture of the system and assist with its implementation.

Health and Safety Training

Health and Safety Training is a key aspect of health and safety management, and certain training modules (1-8 below) are mandatory.

Mandatory e-learning (Moodle) modules for all members of staff at induction and every three years thereafter:

1. H&S - Induction*
2. H&S - Display Screen Equipment
3. H&S - Fire Safety Awareness*
4. H&S - Fire Extinguishers

*These courses are also available for students to complete.

Additional mandatory e-learning (Moodle) modules for all supervisers/managers at induction and every three years thereafter:

5. H&S - Risk Assessment
6. H&S - Accident Investigation
7. H&S - Fire Warden

Additional mandatory face-to-face (F2F) training for all Senior Officers, Directors, Heads of Departments, Senior Administrators and Technical Managers at induction and every three years thereafter:

8. H&S - Legal Update Training

All of the other face to face and Moodle training sessions are role specific and would need to be managed by departments accordingly. It is therefore important that senior managers and heads of departments carry out a training needs analysis for all staff within their department and ensure that, as a minimum, roles are mapped against optional training courses below.

9. IOSH Managing Safely/NEBOSH Health and Safety Award (F2F)
   - For supervisors and managers in higher risk roles.

10. Working Safely (F2F)
    - For staff in higher risk roles.

11. Chemical Assessment (Moodle)
    - for those responsible for carrying out assessments of the storage and use of chemicals under the Control of Substances Hazardous to Health (COSHH) Regulations and Dangerous Substances and Explosive Atmosphere Regulations (DSEAR).

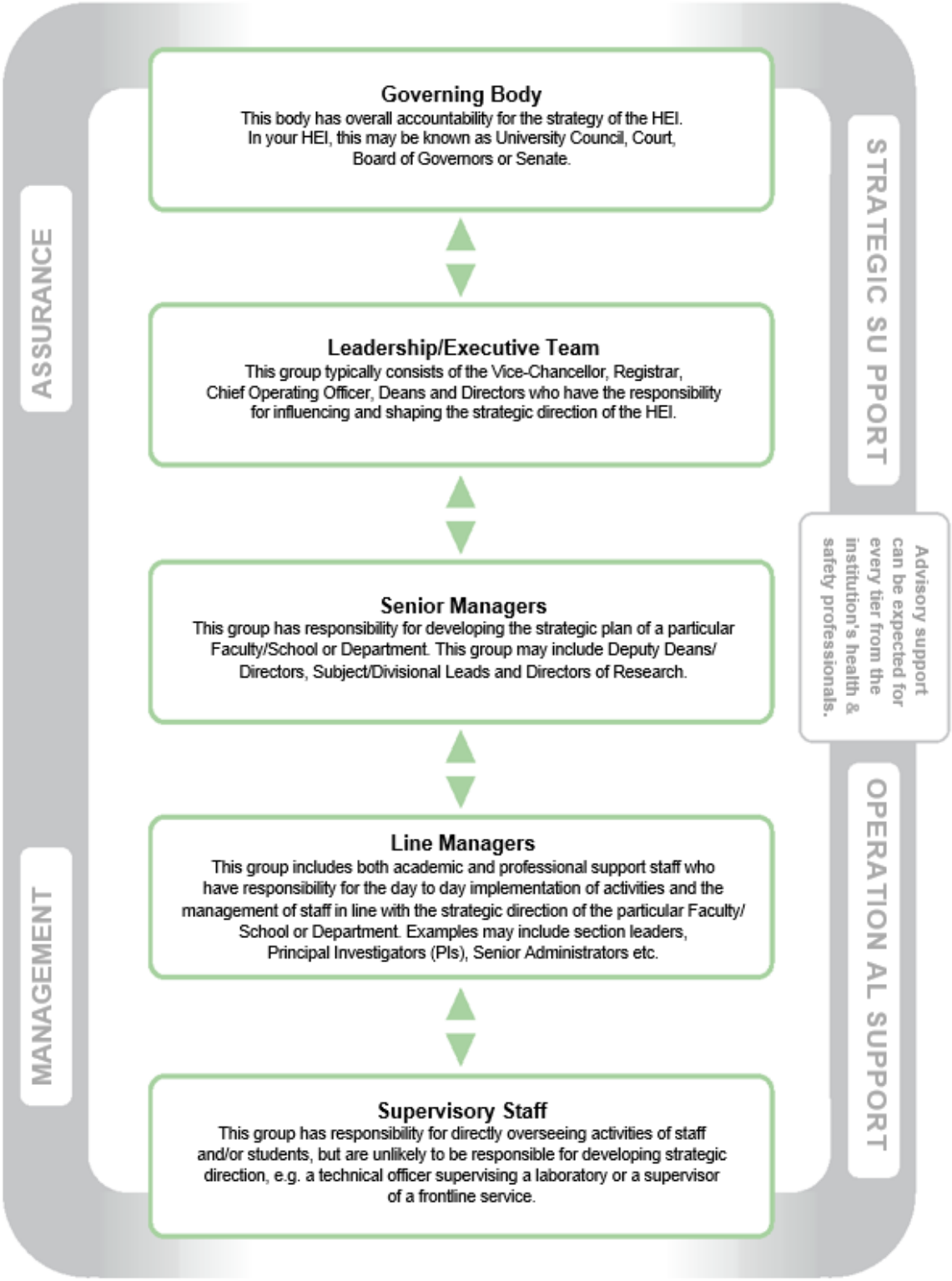
12. Work Equipment Safety (Moodle)
    - For those supervising or managing staff or students who use higher risk work equipment.

13. Manual Handling Awareness (Moodle)
    - For those regularly carrying out manual handling tasks (including lifting, lowering, pushing and pulling) as defined under the Manual Handling Operations Regulations.

These courses are the core health and safety training courses currently identified by the central Health and Safety Department as priority training requirements. Various departments will also have their own local training requirements and provision in place, and the above courses complement rather than replace existing local arrangements.

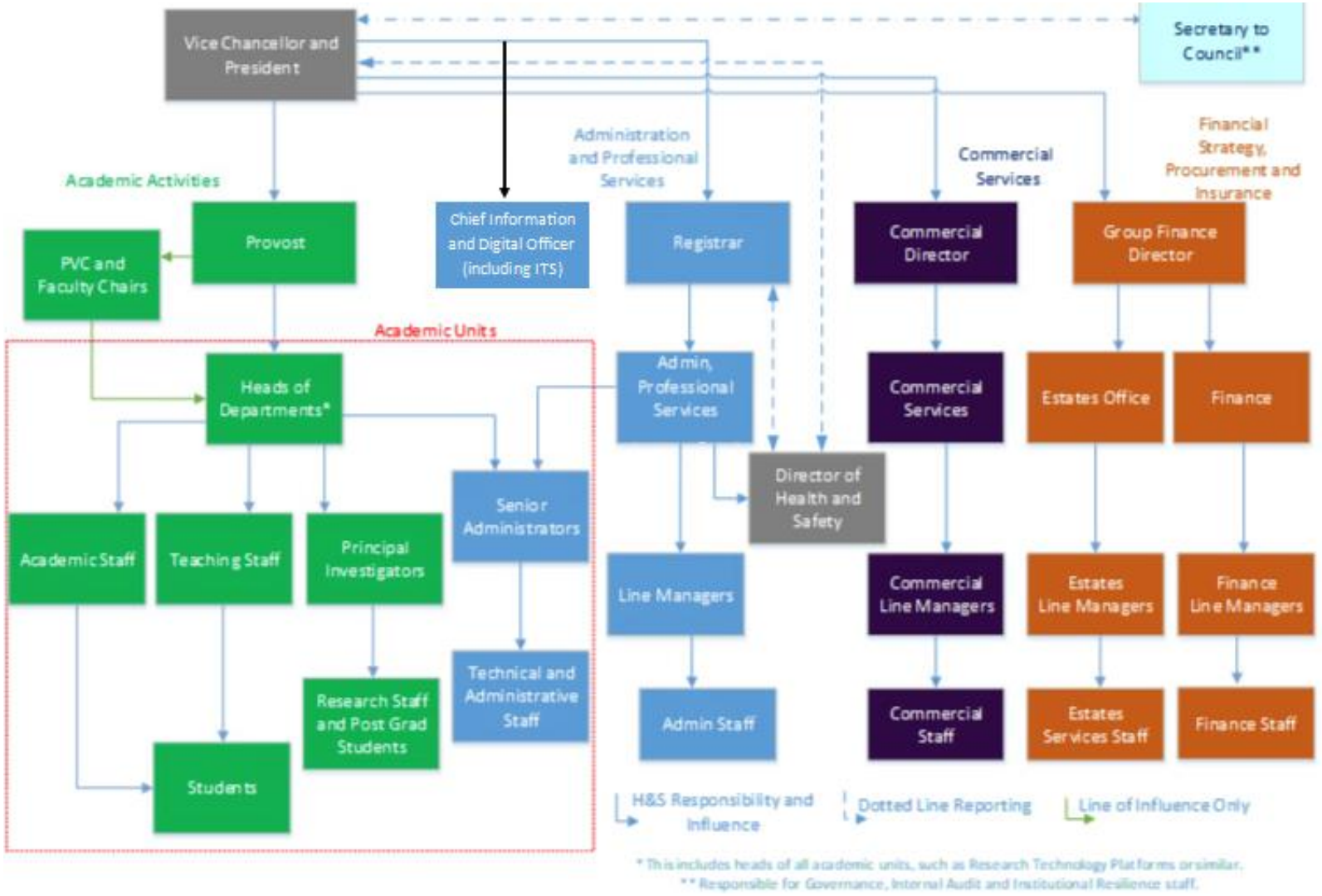
Records of training will be maintained within Moodle and the HR systems Learning Management System (LMS) module and data on completion rates produced.

Summary of Sector Guidance on H&S Leadership Roles



Source: Leadership and Management of Health and Safety in Higher Education Institutions (published September 2015), developed in partnership with the Universities and Colleges Employers Association (UCEA).

University of Warwick Organisation for Safety (taken from the University Health and Safety Policy)



1. Governing Body

The Council is the University of Warwick's Governing Body, and the Council should:

Plan
- Review the University's Health and Safety Policy on a regular basis.
- Review the University's corporate health and safety objectives on a regular basis.
- Be aware of significant health and safety risks faced by the University.
- 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 are in place and are 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, chaired by a member of the leadership /executive team to oversee health and safety;
- staff at all levels have 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 evaluate leading data (from audits and inspections) and lagging data (from incidents) relevant to health and safety.
- Receive and evaluate data on processes, preventative measures and maintenance arrangements relevant to health and safety.
- Receive and evaluate data on competency indicators.

The Council should also receive assurances about health and safety arrangements for all University activities (including significant partnerships, collaborations and wholly owned subsidiaries).

Review
- Be satisfied that there are regular independent reviews of H&S management carried out across the University.
- Be satisfied that lessons are learnt from accidents and near-misses.
- Review audit processes to ensure they are appropriate for the University.
- Regularly review the University's health and safety risk profile.

Training Requirement
Lay members of Council are encouraged to complete the University's 'Health and Safety Legal Update' training module.

2. Executive Leadership

The University's Executive Leadership, headed by the Vice-Chancellor and President and including the Registrar, the Provost, the Group Finance Director, the Chief Information and Digital Officer and the Commercial Director, are responsible for ensuring that they:

Plan

- Sign up to the University's health and safety policy statement as a demonstration of ownership and communicate its values throughout the University.
- Agree how the policy will be measured, monitored and reported, through the development of appropriate KPIs.
- Set H&S objectives for the University and for their respective leadership team.
- Allocate sufficient resources to the management of health and safety.
- Ensure that health and safety has a specific entry on the risk register.
- Agree a University health and safety competency framework.
- Ensure that a health and safety Risk Profile is created and maintained.
- Agree a health and safety auditing program based on the Risk Profile.
- Ensure emergency procedures encompass all relevant risks.
- Consider the health and safety implications of strategic decisions such as large projects.
- Ensure that the occupational health service is integrated within the University's health and safety management system.

Do

- Implement Health and Safety Policy through line management.
- Receive regular communication and performance updates from with the Director of Health and Safety.
- Ensure that one of the Executive leadership team act as Chair to the University Health and Safety Executive Committee.
- Lead on campaigns to raise health and safety awareness and behaviour change.
- Discuss Health and Safety issues and performance with direct reports and at Development and Performance Reviews.
- Ensure that health and safety implications are considered during discussions at relevant committee meetings, particularly at Steering Committee, University Estate Committee, Capital Space and Amenities Committee (see below*) and at Capital Programme Boards.
- When visiting departments follow local procedures, wear appropriate PPE and ask about risk assessments and how health and safety is managed.

*The Capital Space and Amenities Group (CSAG) plays a crucial role in ensuring the appropriate, and safe, creation and use of spaces within the University. Health, safety and wellbeing should be considered in the design and construction of new spaces, ensuring that such spaces are safe to be occupied and maintained. CSAG should obtain assurances from the relevant Capital Programme Boards in relation to capital projects. CSAG is also expected to obtain assurances relating to health and safety when the use of any space is to be significantly modified, seeking advice from the Estates Department, the Health and Safety Department and other relevant departments as appropriate.

Check

- Enquire with direct reports as to whether health and safety arrangements are in place and are working.
- Enquire with direct reports as to whether appropriate health surveillance is in place for occupational illnesses.
- Assure themselves of the effective functioning of the University Health and Safety Executive Committee.

- Confirm that direct reports are aware of inspections and investigations in their departments, and that they are closing out on any actions generated as a result.
- Accompany direct reports on an inspection or visit during the year.
- Receive and review performance data such as KPIs.
- Check if staff are delivering on objectives set by the leadership team. Use the Development and Performance Review process for this.
- Review deployment of resources (e.g. are they sufficient, competent and effective).

Review

- Review health and safety performance and that of direct reports, celebrating success and taking corrective action where targets are not being met.
- Share health and safety 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 the health and safety performance of departments and the Health and Safety planning process.

Setting Health and Safety Objectives

Health and Safety objectives for the University are documented on the following web-page:

https://warwick.ac.uk/services/healthsafetywellbeing/guidance/handspolicy/objectives/

Training Requirement

All members of the Executive Leadership team must complete the University's 'Health and Safety Legal Update' training module at least once every three years.

Checklist for Executive Leadership

1. How do you demonstrate the Executive's commitment to health and safety?
2. What do you do to ensure that there is an appropriate Executive-level review of health and safety?
3. What have you done to ensure that key people at all levels receive competent health and safety advice?
4. How are you ensuring all staff are sufficiently trained and competent in their health and safety responsibilities?
5. How confident are you that the workforce, particularly safety representatives, and students are consulted properly on health and safety matters, and that their concerns are reaching the appropriate level?
6. What systems are in place to ensure that risks are assessed, and that sensible control measures are established and maintained?
7. How well do you know what is happening on the ground, and what audits or assessments are undertaken to inform you about what your staff and contractors actually do?
8. What information do you receive regularly about health and safety, eg performance data and reports on injuries and work-related ill health?
9. What targets have you set to improve health and safety and do you benchmark your performance against others in the sector?
10. Where changes in working arrangements have significant implications for health and safety, how are these brought to the attention of senior leadership?
11. Does your corporate health and safety plan incorporate the objectives set out in the UCEA health and safety plan?
12. How confident are you that attitudes within the University do not condone poor practices or produce tolerance to it?

3. Faculty Chairs

Faculty Chairs are responsible for working with the Academic Registrar to assure themselves that the Heads of Department within their respective Faculties are aware of their responsibilities, as outlined in Section 7 of this document, and that those Heads of Department are taking reasonable steps to meet their health and safety responsibilities. In particular Faculty Chairs are expected to:

- Ensure that due consideration is given to health and safety in any discussions relating to proposed changes within their Faculty, particularly when significant changes to equipment, facilities, processes, arrangements or organisational structures are being contemplated, and to obtain reasonable assurances that suitable precautions will be taken before any such changes are implemented.

- Review any data generated by the Health and Safety Department through performance monitoring activities (accident investigations and inspections) in relation to the Departments within their Faculty and to seek assurance from Heads of Departments in relation to the close out of actions generated as a result of such monitoring

- Consider information from external and internal health and safety audits relating to the Departments within their Faculty, and to seek assurance from Heads of Departments in relation to the close out of actions generated as a result of such audits.

Training Requirement
Faculty Chairs and the Academic Registrar must complete the University's 'Health and Safety Legal Update' training module at least once every three years.

4. Director of Estates

The Director of Estates is responsible for ensuring that all statutory inspections of University of Warwick systems and equipment notified to the Estates Department are carried out, and is responsible for ensuring that the fabric of all University of Warwick buildings, and fixed installations fitted therein, is safe and suitable for use. The Director of Estates is expected to:

Plan

- Align the Estates health and safety plan to the institution's health and safety plan.
- Include appropriate health and safety risks in the Estates business risk register.
- Define the membership (including trade union representation) and terms of reference the Estates health and safety committee.
- Ensure that induction arrangements (for both staff and contractors) include all relevant health and safety information.
- Assign sufficient resources (competent personnel, with enough time and facilities).

Do

- Chair, or ensure that a senior manager chairs, the Estates health and safety committee.
- Produce and communicate an Estates annual health and safety plan.
- Have a regular communication meeting with the Director of Health and Safety.
- Have oversight of the Estates' accident and incident investigations.
- Ensure that the Estates Operational Management Team:

    - Assess the health and safety impact of new projects at planning stage.
    - Put in place processes so that all activities are appropriately risk assessed and controls are implemented, using work instructions/standard operating procedures as and when appropriate.
    - Consider the health and safety requirements/implications associated with the certification, set-up, use, maintenance, inspection & servicing of work equipment.
    - Embed health and safety arrangements relating to the procurement and management of contractors.

- Agree health and safety competency and development needs of departmental staff and set a training objective (e.g. using a training matrix or competency development framework) with the Estates Operational Team members.

Check

- Participate in active safety monitoring at appropriate intervals.
- Check that agreed health and safety training objectives are being met.
- Use the Development and Performance Review process to assist with the communication of departmental and personal objectives.
- Analyse safety information data to identify emerging trends in the or department (such as accident, sickness absence, training data).
- Check that all actions and recommendations from health and safety audits and inspections are implemented.

Review

- Review health and safety processes and procedures regularly.
- Consider information from external and internal sources and how any actions or recommendations are to be implemented.
- Review their own health and safety performance and that of direct reports and celebrate their achievements.
- Use the information to review the planning process.

Setting Health and Safety Objectives

Health and Safety objectives for the University are documented on the following web-page:

https://warwick.ac.uk/services/healthsafetywellbeing/guidance/handspolicy/objectives/

The Director of Estates is responsible for ensuring that Health and Safety Objectives are incorporated in to the Estates Health and Safety Plan and progress is monitored at suitable periods to ensure that the objectives are being met.

Training Requirement

The Director of Estates and all of the Estates senior leadership team must complete the University's 'Health and Safety Legal Update' training module at least once every three years.

5. Building Managers

Those people nominated as 'Building Managers' for a building (or buildings) are expected to act as a coordinator, or Single Point of Contact (SPOC), for all matters relating to facilities management, liaising with occupier/users and the Estates Department as appropriate. In relation to the building(s) they are responsible for Building Managers are expected to:

- Ensure building related risk assessments (including fire risk assessments, water safety and hygiene and asbestos assessments) are undertaken and recorded.
- Ensure, in co-operation with Estates managers and staff, that any staff or contractors working on the fabric of their respective building(s) are following agreed risk assessments and method statements (RAMS) and any other safe systems of work.
- Control access of contractors to their respective building(s), ensuring that signing in and signing out arrangements are in place for all contractors.
- Act as a Single Point of Contact for prior notification of work to be carried out, whether by contractors of Estates staff.
- Act as a local contact point for Permits to Work, as issued by the relevant authorised person within Estates.
- Coordinate local self-inspection of physical conditions within their respective building(s) and to carry out physical conditions inspections of common spaces.
- Act as a focal point for the reporting of safety critical defects to the Estates Office
- Ensure all new equipment to be permanently (or semi-permanently) located within their respective building(s) is checked for hazards, appropriately risk assessed and that users are trained on any safety features or safe systems of work associated with such equipment.
- Establish and maintain an inventory of all work equipment requiring Statutory Inspections or similar (including lifts and lifting equipment, LEV systems, pressure systems, electrical appliance and electrical installations).
- Act as a local contact point for Statutory Inspections, and similar Inspections, as per inventory mentioned above and as a contact for Estates staff carrying out Planned Preventative Maintenance (PPM).
- Ensure that an annual program for statutory testing of equipment, as required for local exhaust ventilation, pressure systems, lifting equipment, etc. is in place and that all statutory examinations are carried out within the prescribed timescales.
- Ensure that requirements and recommendations from Statutory Inspections (or similar) and PPM are acted upon.
- 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 up to date with health and safety requirements for their area of responsibility.
- Monitor the completion/progress of actions arising from audits and inspections.
- Review actions arising from audits to ensure they have been completed or progress is being monitored.

Training Requirement
All Building Managers must complete the University's IOSH Managing Safely or NEBOSH Health and Safety Award training module.

6. Heads of Department and Senior Managers (professional services and support departments)

Heads of non-academic Departments (including administrative and professional services departments and commercial and campus services departments) and senior managers are accountable for following the University's health and safety policy and standards within their own areas of accountability. Such Heads/Senior Managers are expected to:

Plan

- Align their departmental health and safety plan to the institution's health and safety plan.
- Include appropriate health and safety risks in their business risk register.
- Ensure that induction arrangements (for both staff and any contractors) include all relevant health and safety information.
- Assign sufficient resources (competent personnel, with enough time and facilities).
- Plan arrangements to ensure the health and safety of all persons who may be affected by their department's work activities, including contractors, students and visitors.

Do

- Put in place processes to ensure all activities are appropriately risk assessed and controls are implemented, using work instructions/standard operating procedures as and when appropriate.
- Ensure responsibilities are delegated and understood for tasks such as the completion of risk assessments.
- Produce and communicate an annual health and safety plan.
- Have oversight of their department's accident and incident investigations.
- Agree health and safety competency and development needs of departmental staff and set a training objective (e.g. using a training matrix or competency development framework) with 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 associated with the certification, set-up, use, maintenance, inspection & servicing of such equipment.
- Embed health and safety arrangements relating to the procurement and management of contractors.

Check

- Participate in safety inspections at appropriate intervals.
- Check that agreed health and safety training objectives are being met.
- Use the Development and Performance Review process to assist with the communication of departmental and personal objectives.
- Analyse safety information data to identify emerging trends in the or department (such as accident, sickness absence, training data).
- Keep staff informed, monitor progress and actively seek their views on improvements (via local meetings and/or safety committees).
- Check that all actions and recommendations from health and safety audits and inspections are implemented.

Review

- Review health and safety processes and procedures regularly.
- Consider information from external and internal sources and how any actions or recommendations are to be implemented.
- Review their own health and safety performance and that of direct reports and celebrate their achievements.
- Use the information to review the planning process.

Setting Health and Safety Objectives

Health and Safety objectives for the University are documented on the following web-page:

https://warwick.ac.uk/services/healthsafetywellbeing/guidance/handspolicy/objectives/

Heads of Departments are responsible for ensuring that Health and Safety Objectives are incorporated in to departmental Health and Safety Plans and progress is monitored at suitable periods to ensure that the objectives are being met.

Training Requirement

Directors/Heads of non-academic Department and all of their respective senior leadership team must complete the University's 'Health and Safety Legal Update' training module at least once every three years.

7. Heads of Department (Academic Departments)

Heads of Departments (including heads of all academic units such as Research Technology Platforms (RTPs) are accountable for following the University's health and safety policy and standards within their own areas of accountability, including any allocated space, equipment and facilities, by reviewing performance, setting objectives, formalising arrangements, and ensuring that necessary actions across all activities within their Department are completed.

Where departmental staff are engaged in RTP activity the Head of Department and the Head/Director of the RTP must agree who is responsible for various aspects of the health and safety arrangements for such staff or any shared facilities. This would normally be documented in the respective Departmental/RTP policies as per second bullet point below, and, as a general point those directing or managing the activity, whether Department or RTP, would be responsible for ensuring the health and safety of anyone engaged in the activity, or who might be harmed as a result of the activity.

Heads of Academic Departments and Heads/Director of RTPs are expected to:

Plan

- Align their departmental/RTP health and safety objectives to the University's objectives (see the section below on objectives).
- Establish a departmental/RTP health and safety policy, containing a statement of intent from senior leadership, and information on the organisation and specific arrangements in place at a departmental/RTP level to ensure sound management of health, safety and wellbeing matters.
- Include appropriate health and safety risks in their risk register.
- Define the membership (including any trade union representation) and terms of reference for the local health and safety committee (NB: this would only be required in in larger or higher risk academic departments, including all Science and Medical departments)
- Ensure that induction training and arrangements include all relevant health and safety information for new starters.
- Assign sufficient resources (competent personnel, with enough time and facilities), including access to specialist support from occupational health, Radiation Protection Advisers, Biosafety specialists as appropriate.
- Plan arrangements to ensure the health and safety of all persons who may be affected, including staff, 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 a senior manager chairs, the local health and safety committee; attend the committee, where a committee has been deemed necessary.
- Have a regular communication meeting with the local competent H&S adviser.
- Have oversight of accident and incident investigations.
- Agree health and safety competency and development needs of all staff and set a training objective (using a training matrix approach) with their senior team.
- Assess the health and safety impact of new projects at the planning stage.
- When purchasing equipment, consider the health and safety requirements/implications – design, set-up, use, maintenance, inspection & servicing and disposal.
- Embed health and safety arrangements relating to the procurement and management of contractors.

Check

- Check that their staff carry out, document and regularly review generic risk assessments of all activities and risks, including hazardous substances assessments, assessments of newly acquired equipment prior to first use, first aid assessments, noise assessments, computer workstation assessments and manual handling assessments.
- Check that there is oversight of the Department's/RTP's research portfolio and for ensuring that research programmes have had relevant scrutiny regarding health, safety and related compliance issues, including for research activities carried out off campus.
- Attend safety inspections of their area at appropriate intervals.
- Check that agreed health and safety objectives are being cascaded to relevant staff (using the Development and Performance Review process to assist as appropriate).
- Analyse incident data to assess trends in accidents and ill-health.
- Check that all actions and recommendations from Health and Safety audits and inspections are implemented.

Review

- Review risk assessment processes and progress regularly.
- Consider information from external and internal sources (e.g. audits, inspections by central health and safety staff), and how corrective actions/recommendations are being implemented.
- Review their own health and safety performance and that of direct reports and celebrate their achievements.
- Use the information to review the planning process.

Heads of Department can delegate authority for oversight and action planning for health and safety performance to a member of staff (preferably a senior academic). It is important to note that it is the activity which is being delegated and not the responsibility: the Head of Department remains ultimately responsible for Health and Safety within their department.

Setting Health and Safety Objectives

Health and Safety objectives for the University are documented on the following web-page:

https://warwick.ac.uk/services/healthsafetywellbeing/guidance/handspolicy/objectives/

Heads of Departments are responsible for ensuring that Health and Safety Objectives are incorporated in to departmental Health and Safety Plans and progress is monitored at suitable periods to ensure that the objectives are being met.

Training Requirement

All Heads of Academic Departments must complete the University's 'Health and Safety Legal Update' training module at least once every three years.

8. Senior Administrators

Departmental Senior Administrative staff play an essential role in supporting their Heads of Department in relation to meeting the expectations placed on them in relation to health and safety. They are expected to

Plan

- Align their school or departmental health and safety objectives to the University's objectives (see the section below on objectives).
- Ensure that induction training and arrangements include all relevant health and safety information for new starters.
- Assign sufficient resources (competent personnel, with enough time and facilities).
- Plan arrangements to ensure the health and safety of all persons who may be affected, including staff, 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.
- Have oversight of accident and incident investigations.
- Agree health and safety competency and development needs of all staff and set a training objective (using a training matrix approach) with their senior team.
- Assess the health and safety impact of new projects at the planning stage.
- When purchasing equipment, consider the health and safety requirements/implications – design, set-up, use, maintenance, inspection & servicing and disposal.
- Embed health and safety arrangements relating to the procurement and management of contractors.

Check

- Check that their staff carry out, document and regularly review generic risk assessments of all activities and risks, including hazardous substances assessments, assessments of newly acquired equipment prior to first use, first aid assessments, noise assessments, computer workstation assessments and manual handling assessments.
- Check that agreed health and safety objectives are being cascaded to relevant staff (using the Development and Performance Review process to assist as appropriate).
- Analyse incident data to assess trends in accidents and ill-health.
- Check that all actions and recommendations from Health and Safety audits and inspections are implemented.

Review

- Review risk assessment processes and progress regularly.
- Consider information from external and internal sources (e.g. audits, inspections by central health and safety staff), and how corrective actions/recommendations are being implemented.
- Review their own health and safety performance and that of direct reports and celebrate their achievements.
- Use the information to review the planning process.

Setting Health and Safety Objectives

Health and Safety objectives for the University are documented on the following web-page:

https://warwick.ac.uk/services/healthsafetywellbeing/guidance/handspolicy/objectives/

Heads of Departments, supported by their Senior Administrators, are responsible for ensuring that Health and Safety Objectives are incorporated in to departmental Health and Safety Plans and progress is monitored at suitable periods to ensure that the objectives are being met.

Training Requirement

Senior Administrative staff must complete the University's 'Health and Safety Legal Update' training module, and it is recommended that they also attend the IOSH Managing Safely or NEBOSH Health and Safety Award Course.

9. Technical Managers

Technical Managers, supported by members of their respective technical teams, are expected to:

- Ensure risk assessments are undertaken and recorded for all activities undertaken by their own technical staff, and that the necessary control measures are effectively implemented.
- Ensure any new processes undertaken by their own technical staff are properly risk assessed before implementation.
- Work with Principal Investigators to ensure that all new equipment is checked for hazards, and users are trained on safe systems of work and risk control measures prior to its first use.
- Support the health and safety inspection programme and be involved in audits when asked.
- Ensure the close-out of actions allocated to their technical team following inspections and investigations.
- Develop or use existing communication processes (e.g. team meetings) to keep their team informed, and receive information back from team members.
- Contribute to 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.
- Ensure that there is a suitable maintenance plan, including a program for statutory testing of equipment, as required for local exhaust ventilation, pressure systems and lifting equipment and that records are kept locally when statutory examinations are carried out.
- Ensure that appropriate training is delivered to, and competency records are maintained for, their own technical staff.
- Monitor that equipment is only used by competent staff and students, and that levels of supervision are appropriate.

Training Requirement

All Technical Managers must complete the University's 'Health and Safety Legal Update' training module, and it is recommended that they also attend the IOSH Managing Safely or NEBOSH Health and Safety Award Course, or complete the following training modules as appropriate:

- Risk Assessment
- Chemical Assessment
- Work Equipment Safety
- Accident Investigation
- Asbestos Awareness
- Cryogenics Safety
- Gas Safety

10. Academic Staff, including Principal Investigators and Staff with Teaching Responsibilities

Academic staff, including Principal Investigators and staff with teaching responsibilities are responsible for meeting University health and safety standards for their research activities and facilities. In particular, such staff are responsible for assessing, taking account of, and addressing the risks including health and safety risks associated with new research proposals and new teaching activities in line with University health and safety policies and requirements.

Academic staff and staff with teaching responsibilities are responsible for meeting University health and safety standards for their teaching activities and the equipment they use.

Academic staff, including Principal Investigators and Staff with Teaching Responsibilities are expected to:

- Ensure risk assessments are undertaken and recorded by their staff and students
- Ensure that appropriate supervisory arrangements are in place to ensure that their staff and students are following safe systems and control measures.
- Ensure any new processes are properly risk assessed before implementation.
- Ensure all new equipment is checked for hazards, risk assessed and users are trained on safe systems of work and risk control measures.
- Ensure that where risks cannot be eliminated they are reduced to the lowest 'reasonably practicable' level by taking the following preventative measures, in order of priority:
    - Substitution – replacing materials or processes with less hazardous ones
    - Reduction – reducing the inventory levels of substances or reducing potential
    - Engineering controls – including Local Exhaust Ventilation (LEV), guarding dangerous items of equipment, safety devices and indicators, giving priority to measures which protect collectively over individual measures
    - Administrative Controls – arrangements or procedures required to ensure safety, for example: reducing the time workers are exposed to hazards (eg by job rotation); task instructions; increasing safety signage; appropriate levels of supervision and regular training or 'tool box talks (safety briefings)
    - Personal protective clothes and equipment - Only after all the previous measures have been tried and found ineffective in controlling risks to a reasonably practicable level, must personal protective equipment (PPE) be used.
- Provide induction training for all of their staff and students in accordance with training needs identified through risk assessments.
- Provide staff with access to health surveillance if identified in risk assessments.
- 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.
- Ensure compliance with the program for statutory testing of **all** equipment used by their staff and students, including those statutory inspections (carried out by specialist engineers), user checks and regular weekly/monthly checks (carried out by their own trained staff and students) required for local exhaust ventilation, pressure systems, lifting equipment.
- Ensure that their staff and students comply with any Codes of Practice produced by the University, in particular those required for statutory compliance purposes.
- Monitor that control measures are effectively implemented; you could do this through observation monitoring or during inspections.

- Review actions arising from audits and inspections to ensure they have been completed or progress is being monitored.
- Embed learning points from accidents and incidents.
- Respond to external influences such as Health & Safety Executive (HSE) or other regulatory body visits, audits and changes in legal requirements.

In particular Principal Investigators are required to:

- Complete a Hazard Grid, using the QuEMIS Hazard Module, for the laboratories, workshops, and storerooms they are responsible for, adding any information on local rules (notice boards) relevant to such spaces.
- Maintain an inventory of all chemicals held within their research group(s).
- Ensure that there are arrangements to ensure that 'High Hazard' substances can only be procured in line with University requirements.
- Dispose of any surplus or out of date chemicals, or any chemicals stored within damaged or aging bottles, or where their labels cannot be read easily.
- Work with Technical and Health and Safety staff to ensure that risk assessments are carried out and documented for the safe storage of all chemicals, so that the appropriate storage and segregation can be achieved for all chemicals which might present a risk to health and/or a risk of fire or explosion.
- Maintain an inventory of all potentially dangerous work equipment (any equipment which is electrically, hydraulically or pneumatically powered, operates at any pressure other than atmospheric, generates high or low temperatures internally or externally, has rotating stocks or moving parts, is designed to lift people or equipment, or is a ladder or elevated work platform, involves any form of internal combustion, uses lasers or source of any radiation, or might present a risk in terms of manual handling) in use within their research group(s).
- Dispose of any surplus work equipment via the appropriate method.
- Ensure that risk assessments are carried out and documented on all potentially dangerous work equipment.
- Maintain records of staff competence as they relate to the use of equipment and any hazardous substances in their respective areas of responsibility.
- Ensure that there are arrangements in place for ensuring health and safety of students during undergraduate laboratory sessions.

Principal Investigators must also address in bid submissions whether there are health and safety issues that may impact on the Department, such that the Head of Department has the necessary information to make an informed decision when signing off the Acceptance of Funding as required in Finance Regulation 14.

Academics who specify new practical work for undergraduate laboratory sessions are responsible for the risk assessment of the practical work and for the information and identification of key messages that need to be communicated to students.

Academic staff, Principal Investigators and staff with teaching responsibilities must work cooperatively with Technical Managers to ensure that both parties understand their respective responsibilities, and that both parties can reasonably fulfil their respective responsibilities.

Whilst Technical Managers and their teams will support the work of academic staff the responsibility for the health and safety of academic staff and students ultimately resides with Principal Investigators and those staff with responsibility for teaching activities.

Training Requirement
All Principal Investigators must complete the University's mandatory training modules, and should consider also completing the following:

- IOSH Managing Safely or NEBOSH Health and Safety Award
- Chemical Assessment
- Work Equipment Safety
- Manual Handling Awareness

11. Managers

Those who have authority to instigate and direct activities and to instruct others are responsible for the health and safety of the people, activities, and projects that they direct or instruct. All staff in a supervisory position, including researchers and teaching staff, are responsible for the health and safety of the people, activities, and projects that they supervise. They must comply with the University's health and safety policy and the arrangements for their Department. All managers within the University are expected to:

- Ensure that risk assessments have been carried out, recorded and control measures are effectively implemented; this could be done through observation monitoring or during inspections.
- Set reasonable objectives to cover their area of responsibility, including allocation of work on risk assessments.
- Develop or use existing communication processes (e.g. team meetings) to keep their team informed, and receive information back from team members.
- Plan deployment of resources to achieve health and safety objectives, including assessment of training needs.
- Provide induction training for all staff and students in accordance with training and competency frameworks.
- Ensure all new equipment is checked for hazards, and users are trained on safe systems of work and risk control measures.
- Provide staff with health surveillance if identified in risk assessments.
- Support 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 up to date with health and safety requirements for their area of responsibility.
- Monitor the completion/progress of actions arising from audits and inspections.
- Review actions arising from audits to ensure they have been completed or progress is being monitored.

Setting Health and Safety Objectives

Health and Safety objectives for the University are documented on the following web-page:

https://warwick.ac.uk/services/healthsafetywellbeing/guidance/handspolicy/objectives/

Managers are responsible for ensuring that Health and Safety Objectives are incorporated in to departmental Health and Safety Plans and progress is monitored at suitable periods to ensure that the objectives are being met.

Training Requirement

Nominated managers must complete the University's 'Health and Safety Legal Update' training module, and it is recommended that they attend IOSH Managing Safely or NEBOSH Health and Safety Award training as appropriate.

12. Supervisors

Health and safety is an integral part of everyone's job, and supervisors have an important role in ensuring that every member of their team takes care of their own health and safety; takes due consideration for the health and safety of others. Supervisors must ensure that they and their teams comply with the University's policies and standards, and the relevant arrangements for the area or activity.

Every supervisor is empowered to stop their work, or the work of others should they feel the work is being carried out in an unsafe manner: there is nothing so important that it cannot be done safely. All supervisors are expected to:

- Ensure that they understand local safety policy and procedures.
- Plan any skill, knowledge or refresher training for themselves and their 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 resources and ensure all staff understand what is expected of them.
- 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.
- Ensure that their team, and students where appropriate, have received induction training and relevant training appropriate to their activities/studies.
- Raise any issues of non-conformance through line-management structure.
- Be involved in local workplace inspections and local safety committees.
- Ensure risk assessments have been carried out, are up to date, recorded, and that control measures are effectively implemented and understood.
- Ensure actions arising from audits and inspections have been completed or monitor progress.
- Provide feedback on health and safety performance to line manager and celebrate achievements.
- Review accidents and incidents and ensure lessons learnt from investigations are embedded into revised procedures.

Training Requirement
Nominated supervisors must complete the University's 'mandatory' training modules. Depending on their role and the staff and activities they supervise consideration should be given to whether supervisors should also complete the following training:

- IOSH Managing Safely or NEBOSH Health and Safety Award
- Chemical Assessment
- Work Equipment Safety
- Manual Handling Awareness

13. Members of staff and students

Health and safety is an integral part of everyone's job. Every individual staff member, student, visitor or contractor must take care of their own health and safety; take due consideration for the health and safety of others; not interfere with or misuse facilities that are there in the interests of health and safety; and comply with the University's policies and standards, and the relevant arrangements for the area or activity.

Every individual staff member, student, visitor or contractor is empowered to stop their work, or the work of others should they feel the work is being carried out in an unsafe manner: there is nothing so important that it cannot be done safely.

All members of staff and students are expected to:

- Take reasonable care for themselves or others who might be affected by their actions.
- Use any equipment, substances or safety devices provided by the University in accordance with any training or instructions which have been provided, and report any defects or problems.
- Tell someone (manager, supervisor, the health and safety team or health and safety representative) if you think the work or inadequate precautions are putting anyone's health and safety at serious risk.
- Follow any local instructions or signage, such as notice boards, and wear any personal Protective Equipment (PPE) provided correctly.
- Co-operate with the University on health and safety matters, which might include:
    - Making themselves, with the support of their line managers or supervisors, aware of the University's health and safety policy.
    - Supporting the risk assessment process and the development of SOPs as and when appropriate.
    - Supporting the completion of workplace inspections as and when appropriate.
    - Supporting incident/near miss investigations as and when appropriate.
    - Providing feedback on health and safety performance to line managers.
    - Providing feedback on health and safety issues via local safety committees.

Training Requirement
Staff and students 'on-campus'* must complete the University's 'Health and Safety Induction' on-line training module, which is a very short module covering the basics of fire safety, reporting accidents, access to first aid, computer work and information relating to the Health and Safety at Work Act. Where appropriate the following courses should also be considered:

- Working Safely
- Risk Assessment
- Chemical Assessment
- Work Equipment Safety
- Manual Handling Awareness

*Students not coming to campus (such as distance learning students) will not be required to complete such training.

14. Director of Health and Safety

The Director of Health and Safety, supported by members of the Health and Safety Department, is responsible for providing competent advice on health and safety matters to all departments across the University, for supporting risk assessment activities and for providing appropriate health and performance information to the Vice Chancellor and President, Senior Officers, Senior Management Team and Head of Departments.

The Director of Health and Safety is expected to:

- Produce annual reports on health and safety for the Council.
- Produce monthly reports on health and safety for the Steering Committee.
- Produce briefing sessions or papers on significant events and changes to legal requirements.
- Develop a set of University health and safety objectives which include both leading and lagging indicators.
- Facilitate and advise on the development of a health and safety risk profile.
- Provide contextualised information about comparisons with sector norms and statistical information (such as HESA data).
- Develop a health and safety competency and training framework.
- Manage a health and safety audit programme as agreed with Executive leadership.
- Provide advice on interpretation of health and safety legislation and best practice.
- Provide communications to departments about significant events and changes to legal requirements.
- Attend health and safety committees or other meetings where health and safety is discussed.
- Provide information to departments about accidents and incidents.
- Provide guidance on how to investigate incidents and health and safety issues.
- Provide action plans and recommendations following investigations.
- Provide advice on management actions and proportionate responses to incidents.
- Source or facilitate training courses, presentations and information.
- Provide assistance to managers during external audits, inspections, etc., which includes provision of occupational health services.
- Provide input to local discussions on health and safety matters.

The Director of Health and Safety has authority to stop activities that put people at imminent risk of harm.

Training Requirement
The Director of Health and Safety must keep his/her CPD records up to date, within the IOSH CPD (or similar professional body) framework.

15. Health and Safety Officers

Health and Safety Officers are expected to:

- Ensure that risk assessments are in place, and are suitable and sufficient, for any existing processes within their respective department(s) and that the control measures are being implemented properly by those individuals in control of the activity.
- Ensure new processes within their respective department(s) are properly risk assessed by those individuals in control of the activity, and that the appropriate control measures are in place before implementation of any new process.
- Support the health and safety inspection programme and be involved in audits when required.
- Support the close-out of actions following inspections and investigations.
- Develop or use existing communication processes (e.g. team meetings) to keep staff and students in their team respective departments informed of health and safety developments, and receive information back from staff and students.
- Contribute to 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.
- Work with technical staff to ensure that there is a suitable maintenance plan, including a program for statutory testing of equipment, as required for local exhaust ventilation, pressure systems and lifting equipment and that records are kept locally when statutory examinations are carried out.
- Ensure that appropriate training is delivered to, and competency records are maintained for, staff and students in their respective departments.
- Monitor that equipment is only used by competent staff and students, and that levels of supervision are appropriate.

In particular Health and Safety Officers are required to:

- Work with Principal Investigators (PIs) to ensure that an inventory of all chemicals held within their department is created and maintained.
- Work with Principal Investigators to ensure that risk assessments are carried out and documented for the safe storage of all chemicals, so that the appropriate storage and segregation can be achieved for all chemicals which might present a risk to health and/or a risk of fire or explosion.
- Work with Principal Investigators (PIs) to ensure that an inventory of all potentially dangerous work equipment (any equipment which is electrically, hydraulically or pneumatically powered, operates at any pressure other than atmospheric, generates high temperatures internally or externally, has rotating stocks or moving parts, is designed to lift people or equipment, or is a ladder or elevated work platform, involves any form of internal combustion, uses lasers or source of any radiation, or might present a risk in terms of manual handling) in use within their department is created and maintained.
- Work with Principal Investigators to ensure that risk assessments are carried out and documented on all potentially dangerous work equipment.

Health and Safety Officers have the authority to stop activities that put people at imminent risk of harm.

Training Requirement
Health and Safety Officers must keep his/her CPD records up to date, within the IOSH CPD (or similar professional body) framework.

16. Fire Safety Adviser

Fire Safety Adviser is expected to:

- Ensure that fire risk assessments are in place, and are suitable and sufficient, for any existing building and that the control measures are being implemented properly by those individuals in control of the people within the building.
- Ensure new buildings are properly risk assessed and that the appropriate control measures are in place before implementation of any new process.
- Deliver the fire safety fire risk assessment programme and be involved in audits when required.
- Support the close-out of actions following inspections and investigations.
- Develop or use existing communication processes (e.g. team meetings) to keep staff and students in departments informed of fire safety developments, and receive information back from staff and students.
- Contribute to investigations into accidents and other reports (e.g. near misses).
- Take appropriate action when fire safety is likely to be compromised; if necessary, suspending an activity pending reassessment of the risk.
- Ensure that appropriate training is available to, and competency records are maintained for, staff and students.
- Attend health and safety committees or other meetings where fire safety is discussed.

In particular the Fire Safety Adviser is required to:

- Work with Technical Managers to ensure that Dangerous Substances Explosive Atmosphere Regulation risk assessments are carried out within their department.
- Support Building Mangers in the completion/progress of actions arising from audits and inspections
- Work with the Director of Estates to ensure that there is a suitable maintenance plan, including a program for testing of equipment and that records are kept available when Inspections are carried out.
- Ensure that the Fire Risk Management System conforms to the requirements of the British Standard.
- Report to the Director of Health and Safety on the performance of the Fire Risk Management System and on opportunities for improvement;
- Shall establish fire risk management objectives and review at regular and planned intervals.
- Shall demonstrate to the Director of Health and Safety continual improvement of the suitability, adequacy and effectiveness of the Fire Risk Management System.
- Produce briefing sessions or papers on significant events and changes to legal requirements.

The Fire Safety Adviser has the authority to stop activities that put people at imminent risk of harm.

Training Requirement
Fire Safety Adviser must keep his/her CPD records up to date, within the IFE CPD (or similar professional body) framework.