



# UHSP-01: Health and Safety Policy Statement, Organisation and Arrangements



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**Introduction**

The purpose of this policy is to address the University’s strategic risk relating to compliance with health and safety management legislation, sector guidance and institutional governance summarised as follows:

- Statutory duties including but not limited to The Corporate Manslaughter and Corporate Homicide Act, The Health & Safety at Work etc. Act and Regulatory Reform (Fire Safety) Order.
- Sector guidance “Leadership and Management of Health and Safety in higher education institutions” jointly produced by the University Safety and Health Association (USHA) and the University and Colleges Employers Association (UCEA).
- The Institution’s Corporate Governance Code of Practice, Risk Management Policy and Staff Ordinances.

The policy objective is to ensure that all members of staff understand the extent of their responsibilities and how to implement the policy to achieve continuous improvement in the way that health and safety risks are managed.

Under the authority of this policy are a series of specific policies aimed at identified health and safety issues. These policies set the standards for risk control and are further supported by guidance to assist those responsible to meet these standards

Trades Union and student representatives have been consulted in drawing up this policy and agree with the details and arrangements laid out. This policy has been subject to an Equality Impact Assessment to ensure compliance with University Diversity policy.

This Health and Safety Policy document comprises a Policy Statement and details the organisational responsibilities and arrangements for implementing and monitoring the policy.

**Occupational Health and Wellbeing**

The Health and Safety Management system is an underpinning element of the Health and Safety strategy. We are keen to ensure wellbeing and occupational health are integrated elements of our approach. The strategy document has been updated to include reference to these elements. Reference is also made in the statement of intent, outlining their importance. Additionally, our 2019, 2020 2021 targets and objectives include reference to Occupational Health, Wellbeing and Environmental.

Whilst integrated, Occupational Health and Wellbeing are managed by different departments in the University though be it, close working relationships exist.

The document is a revision of the January 2020 version.

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**STATEMENT OF HEALTH AND SAFETY POLICY**

As Citizens of Change we are fully committed to the health, safety and wellbeing of our staff, students, learners and visitors. This Statement reflects the importance the University attaches to occupational health, safety and wellbeing and demonstrates a determined and overriding commitment to it. Managing health, safety and wellbeing is a strategic priority for us. It has the full commitment of the Council – our governing Body.

Ultimate responsibility for ensuring this is reflected in how we act as an organisation rests with the President and Vice Chancellor. The Chief Operating Officer has delegated responsibility, operationally. The Chief Operating Officer, through the health, safety and wellbeing governance and committee structures, is committed to achieving continuous improvement in our systems and performance.

The nature of the University’s business extends into partnerships and relationships with colleges, schools, divisions, departments, staff, contractors suppliers, students, learners and in some cases staff from NHS trusts or other third party organisations. It is therefore important we all work collaboratively to ensure that occupational health, safety and wellbeing become integral elements of the culture of our collective business activities.

Responsibilities for ensuring implementation of the occupational health, safety and wellbeing arrangements underpinning this policy have been delegated through each member of the senior management chain and their respective college, department, and school team structures. Responsibilities are detailed in the arrangements section of the occupational health and safety management system.

The University will operate an occupational health and safety management system following the principles set out in the internationally recognised standard, ISO 45001 and will aspire to comply with the requirements of all relevant occupational health, safety and wellbeing legislation. As we look to review our methods of working and work in a more agile fashion, we will ensure all necessary health safety and wellbeing elements are integrated in to our operations whether they be on campus, off campus or working from home.

The health and safety team will monitor the effectiveness of our policies and procedures via a framework of internal and external auditing exercises. These exercises will be based around providing safe and healthy working conditions. The results will inform the framework, nature and content of the occupational health and safety objectives which will be established and reviewed regularly.

Risk Assessment is an important discipline in our management approach. We will look to ensure we identify hazards, and control or eliminate work based risks so preventing work related injury and ill health.

Each member of staff has a legal responsibility to ensure their own health, safety and wellbeing and that of others who may be affected by their acts or omissions at work or whilst employed on University related activities. You should ensure you are working safely, comply with all relevant policies and procedures and report any unsafe acts or conditions. We will consult with employees or their representatives regularly.

This Statement of Intent and supporting management system will be reviewed periodically against our current occupational health safety and wellbeing objectives. The review will take account of new legislation, current best practice and organisational changes within the University. We are continuing to move towards a healthier and safer University.

**Professor Nishan Canagarajah, President and Vice-Chancellor**  
January 2021

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## Part 1 Organisational Responsibilities

This following section of the policy provides the framework for the management of health safety and wellbeing at the University, in terms of organisational responsibilities.

The management of health safety and wellbeing is undertaken in line with all other management processes. It is complimented by a parallel system of advice and monitoring provided through the University Health and Safety Committee, and the expert Health and Safety and business partners in association with key role holders appointed at College/Division and School/Department level.

The University of Leicester organisation for health and safety is summarised by the diagram in Appendix A on page 17.

### 1.1 University responsibility

#### 1.1.1 The University Council, and the President and Vice-Chancellor

The ultimate responsibility for Health and Safety at the University of Leicester, is vested in Council, which under the Charter is "the governing body and executive of the University and shall have the conduct of all the affairs of the University". The senior executive officers of the University, the President and Vice-Chancellor, are responsible for ensuring that managers are aware of and fulfil their responsibilities for health and safety.

The President and Vice-Chancellor has a key leadership role in fostering an environment in which health, safety and related issues are seen as essential and integral parts of the University's activities. The signing of the Statement of Health and Safety Policy affirms the commitment to health and safety leadership.

The President and Vice-Chancellor has appointed the University Chief Operating Officer to advise them and the University Executive Board, and to act on their behalf in matters relating to health and safety, including taking appropriate action where standards are not being met.

In addition, the Vice-Chancellor has appointed the Chief Operating Officer to be the chair of the University Health and Safety Committee; a committee required to have oversight and advises on the efficacy of management standards and systems to deliver the agreed Health and Safety policies and objectives.

#### 1.1.2 The Chief Operating Officer

The President and Vice-Chancellor has delegated authority to the Chief Operating Officer to ensure a platform is created that ensures legislative compliance across our activities and delivers measurable cultural, behavioural and procedural improvements in health and safety performance. The platform will safeguard staff, students and learners who are undertaking their apprenticeships under the University's scheme, as well as those affected by the business activities of the University. The main functions of the Chief Operating Officer in relation to health and safety are:

- To ensure that the health and safety management system is structured and effective at all levels within the University.
- To demonstrate health and safety leadership to ensure that all staff with managerial responsibility are effectively managing health and safety in the College, School, Division, Department, Section, Service, or other part of the University which is under their managerial control.
- To provide senior-level direction for the Director of Estates and Digital Services and the Director of Health & Safety.

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- To report to the President and Vice-Chancellor on the performance of health and safety management in the University.
- To ensure that the President and Vice-Chancellor is aware of all significant health and safety problems or safety policy issues which cannot be dealt with at college, school, division or department level.

**1.1.3 Director of Health and Safety**

The Director of Health and Safety has responsibility for the strategic development and implementation of the health and safety strategy and management systems (policies and procedures).

The Director of Health and Safety is accountable to the Executive Board for all health and safety matters within their control. They will provide the appropriate levels of support to Heads of College, Heads of School, Heads of Department or Corporate Services Divisions and other staff with managerial responsibility. This will include:

- Developing, communicating and driving the health and safety strategy which will deliver measurable cultural, behavioural and procedural improvements in health, safety and environmental performance across our business.
- The creation of an environment where health and safety is a business priority, is integral to the services we offer and fundamental to staff, students and learners as well as their behaviours.
- Ensuring that all health and safety policies and procedures are developed and maintained in accordance with current legislation and business requirements.
- To ensure that health and wellbeing is embedded within the health and safety management system and operational activities across the University and that the University’s occupational health provision is well understood by managers and staff.
- The development and implementation of systems or processes that will measure and monitor our performance, leading to benchmarking and measurable improvements.
- Establishing and managing a network platform that allows all health and safety professionals and others with specific health and safety responsibilities to become directly connected and where possible share best practice.
- The provision of advice on the interpretation of health and safety legislation and supporting codes of practice and how these might be best applied.
- Ensuring that the Executive Board, Directors, Heads of College, Heads of School, Heads of Department or Corporate Services Divisions, staff with managerial responsibility and other staff are sufficiently aware of their duties and responsibilities.
- The identification of health and safety training needs across the business and the development of appropriate training packages for delivery.
- Providing the necessary levels of support to all levels of staff within the University.
- Ensuring the systems and processes implemented across the business reflect the intentions of and are in compliance with best industry practice (ISO 45001).
- Proactively engaging with Executive Board, Directors, Heads of College, Heads of School, Heads of Department or Corporate Services Divisions, staff with managerial responsibility and others to ensure, as duty holders they are aligned with the strategy.
- Working closely with the leadership teams to leverage consistent, cost effective health and safety management procedures and initiatives across all areas of the business.

**1.1.4 Director of Estates and Digital Services**

The Director of Estates and Digital Services is responsible for the maintenance of buildings and their safe infrastructure. This includes asset management and compliance, reactive maintenance, minor works, major projects and University services. This means that no college, school, department or division may modify any building or structure or service (e.g. electrical supply or gas supply) without the explicit written permission from Estates and Digital Services. The Director of Estates and Digital Services is responsible for:

- Ensuring all University owned buildings are without significant risks to health and safety.
- Ensuring new builds and substantial renovations consider health and safety as part of the design.

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- Ensuring compliance (through appropriate team members) with legislation in respect to the control of asbestos, legionella, water quality, gas and pressure systems, lifts and lifting equipment, roof works, air conditioning and local exhaust ventilation and electrical supplies.
- Common areas of the University’s estate not associated with specific Colleges, Schools, Departments or Divisions. These internal areas include centrally time-tabled teaching spaces [e.g. lecture theatres], welfare facilities and tenanted property. External areas include university public spaces/grounds, roadways, paths, steps and car parks. *[NB: Heads of Colleges and Heads of Corporate Services Divisions are responsible for activities within buildings, equipment and any substances or materials used under their control]*

**1.1.4 University Health and Safety Committee**

The University Health and Safety Committee is established as the organisational custodian of the University of Leicester Health and Safety Management Strategy and Policies. The Committee exists to provide guidance and reassurance to all university stakeholders in relation to the health and safety management arrangements established to manage our key risks and activities.

It is important to note that the Committee does not merely exist as a consultative forum but is established to ensure that significant actions are identified, resourced and implemented in such a way as the university can demonstrate that health and safety is being effectively managed as a strategic priority.

Key Responsibilities include:

- Ownership of the University of Leicester’s Health Safety and wellbeing Strategy (3 Year) and ensuring it is adequately resourced and implemented at all levels of the university
- Development of an annual H&S Work Activity Plan to ensure H&S Strategy is delivered in line with agreed timelines
- Ensuring H&S Strategy is actively engaged and embedded in all areas of the University’s undertakings.
- Examining the level of competence and resource allocated to health and safety across University of Leicester’s activities
- Identifying key risks associated with University of Leicester’s activities and reviewing the arrangements in place for managing these risks
- Receiving and reviewing reports resulting from accidents and incidents, and assessing any corrective or remedial actions implemented to prevent a recurrence
- Reviewing University of Leicester’s management arrangements against any legislative changes or as a result of major incidents elsewhere (e.g. Grenfell Tower)
- Considering reports arising from audit and monitoring activities, and agree any necessary corrective actions
- Ensuring active engagement with all relevant internal and external stakeholders
- Considering the response to any third party or enforcement interventions (HSE, Local Authority), and review any actions taken as a result
- Considering health, safety and welfare matters raised by members of the university community and assess their implications for the organisation.
- Ensuring roles, responsibilities and accountabilities for health and safety are clearly documented and agreed
- Ensuring College and Corporate Services Health & Safety committees are structured, resourced and report in a manner consistent with the University of Leicester’s H&S Strategy

The HS&WC meets the statutory obligations under The Safety Representatives and Safety Committees Regulations 1977 (as amended) and The Health and Safety (Consultation with Employees) Regulations 1996 and the University recognises the Safety Representatives’ Charter. The recognised trades unions by

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agreement extend their representation to all staff grades and do not limit their representations to those with Trades Union membership.

The HS&WC terms of reference and membership are agreed in accordance with University committee protocols and are available on University webpages.

**1.1.5 College and Corporate Services Health & Safety Committees**

The University’s Health and Safety Committee has mandated that the Colleges and Corporate Services have a Health and Safety Committee to help manage their own Health, Safety and Wellbeing obligations. The Chairs of these committee will be the Director of Operations for the Colleges and the Director of Health and Safety for the Corporate Services Committee. The committee shall be comprised of respective members of each department.

Where the University seeks collective advice on health and safety matters from a specialist working group, the members of that working group assume no special responsibility.

**1.1.6 Health and Safety Business Partners and Designated Estates Team Members**

Reporting to the Director of Health and Safety, they are responsible for ensuring that, the day-to-day health and safety requirements across the areas of the University for which they have responsibility are being carried out, according to the policy laid down by the University. This will include:

- The creation of an environment where health and safety is a business priority, is integral to the services we offer and fundamental to staff, students and learners as well as their behaviours.
- The deployment of the University health and safety management system across the areas of the University for which they have responsibility.
- To ensure that health and wellbeing is embedded within the health and safety management system and operational activities across the University and that the University’s occupational health provision is well understood by managers and staff.
- The implementation of systems or processes that will measure and monitor our performance, leading to benchmarking and measurable improvements.
- Ensuring there is clarity surrounding the position relating to statutory compliance and health and safety performance across the areas of the University for which they have responsibility (both lagging and leading indicators of performance).
- The development of annual health and safety objectives and improvement plans.
- The provision of advice on the interpretation of health and safety legislation and supporting codes of practice and how these might be best applied.
- Ensuring that staff with managerial responsibilities across the areas of the University for which they have responsibility are sufficiently aware of their duties and responsibilities.
- The identification of health and safety training needs across the areas of the University for which they have responsibility for and the development of appropriate training packages for delivery.
- Providing the necessary levels of support to all levels of staff within the University.

**1.2 Colleges and Corporate Services Divisions responsibility**

Individual Colleges and Divisions are responsible for dealing with the risks encountered within their sphere of activities and promoting a positive attitude to health, safety, and wellbeing.

**1.2.1 Heads of Colleges and Heads of Corporate Services Divisions**

The Heads are responsible to the President and Vice-Chancellor through the Chief Operating Officer, and have senior managerial role, for:

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- Taking ownership of embedding the University’s health and safety strategy within the College/Division.
- Taking responsibility for and owning the statutory compliance obligations within their department.
- Ensuring a structure is established for health and safety management and that key safety roles (as identified in UHSP-22 Key Safety Roles policy) are filled within the area of their responsibility.
- Leading and fostering an environment in which health, safety and related issues are essential and integral parts of the College/Divisions' activities.
- Ensuring that risks to health, safety and wellbeing of staff, students, learners, customers, clients, and visitors, are properly identified and controlled in conformity with University policy. This responsibility extends to staff and student activities away from University premises including trips and student placements.
- Ensuring that there is effective consultation and co-operation with appointed Trades Union Safety Representatives within their College/Division and arrangements exist to allow staff, students and learners to raise health and safety matters.
- Where appropriate, ensuring that proper arrangements are made for the disposal of hazardous wastes, in particular; radioactive, biological (including clinical) and chemical wastes
- Ensuring a health and safety work plan is written and implemented to codify how the College/Division will meet its obligations and plan the required work.

In discharging their duties, each Head of College/Division must appoint a Board member to be responsible for health and safety and establish a health and safety committee for the monitoring of health and safety performance.

### 1.2.2 Heads of Schools, Academic, Administrative and Service Departments

Senior members of staff in each department or function have a management responsibility to lead and implement the University’s health and safety policy. They shall establish and formalise the lines of authority within it and allocate such arrangements as to manage their health and safety function effectively.

The senior member of staff also has overall responsibility for the provision of such information, instruction, training and supervision as is necessary to ensure the health and safety of staff, students, learners and visitors.

Heads of Department shall ensure that:

- All department staff are aware of the health and safety arrangements for the reporting of accidents and hazards, first aid and emergency procedures for safe evacuation.
- Students and learners are aware of their responsibilities to co-operate with safe working procedures.
- Teaching at both undergraduate and postgraduate level must communicate and supervise students and learners to ensure a basic safety requirement is met in relevant areas.
- Risk assessments are suitable and sufficient for the hazards and risks presented to all staff, students, learners and other persons in their department. These must be competently completed, communicated, implemented and reviewed.
- Personal protective equipment is suitable and sufficient, readily available, maintained and used as intended.
- All staff, students and learners are provided with the necessary instruction, information, training, and supervision to enable work to be carried out safely and without risk to health or wellbeing.
- Near misses, accidents, dangerous occurrences, cases of notifiable disease and occupational ill health are reported, investigated and action is taken to prevent any recurrence.
- Regular hazard monitoring and workplace health and safety inspections are carried out.
- Observed defects in premises within their area of charge are reported promptly to the Estates and Campus Services for remediation and actions taken to prevent no further risk.
- Working with the Health & Safety Business Partner, ensure the requirements of the College/Division work plan are met and that the plan is embedded within their department

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The Head shall appoint a Departmental Safety Officer (DSO) to act in an advisory capacity but will retain the responsibility for the maintenance of healthy and safe conditions. A person appointed as DSO shall be a suitably competent member of their staff who is provided with a sufficient level of support, resources and training.

If matters affecting health and safety arise which are beyond their authority or resources, Heads of Department, must formally refer the matter to the next senior authority.

**1.2.3 Departmental Safety Officer (DSO) and other key safety roles**

DSO’s have the key role in coordinating a department’s health and safety activities. They will be the key liaison between the department and Health and Safety Services and they are likely to be the person to which questions of health and safety matters will be initially raised. Being a DSO involves liaising with and advising staff at all levels, both academic and professional and so the DSO appointment process should ensure personnel with suitable skills, training and experience are appointed to perform their duties, which are:

- To advise your department/building on health & safety matters including safety inductions for new starters
- To report to the relevant committees on health & safety matters which cannot be effectively dealt with via the normal escalation process
- To advise on safe methods for all activities conducted within your department/building
- To be responsible for owning the aims and objectives document (Critical Pillars) under the direction of the Head of College/Head of Division
- Following direction from the Head of College/Head of Division and support from your Health & Safety Business Partner support implementation of the aims and objectives document (Critical Pillars)To Assist:
- To carry out regular health and safety inspections to identify hazards and risks.
- Ensuring health & safety information is disseminated.
- Ensure there is adequate First Aider/First Aid Supplies within their area/building
- To ensure, with the BSS with the implementation of robust fire safety arrangements and ensuring their continued effectiveness.
- To ensure all accidents/incidents, including near misses and unsafe acts are reported to Health & Safety Services
- To ensure progress being made against the aims and objectives document (Critical Pillars)

In some situations, it may be appropriate for health and safety arrangements and personnel to be shared between departments/divisions within a College or Corporate Services Division. Where facilities used by departments/divisions are shared, the appropriate Heads must determine how safety responsibilities are to be apportioned and formalise the arrangements.

All members of staff should be aware of the functions of such officers and supervisors and have ready access to them.

**Building Safety Supervisors**

Building Safety Supervisors (BSS’s) act as a focal point for matters of safety relating to the built environment. In buildings occupied by a single department, the BSS will be appointed by the Head of Department. Where several departments occupy a building, the heads of those departments will consult with each other to establish which department will provide the BSS (this is normally the department with the greatest number of staff within the building). The duties of the Building Safety Supervisor are:

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- To ensure that building related unsafe and unhealthy conditions not specific to a particular department are reported for remedial action to the appropriate authority, e.g. Estates and Digital services, Health & Safety Services etc.
- To be the person to whom questions relating to building safety, which are not properly dealt with by a particular department, may initially be referred
- To draw to the attention of the Health & Safety Committee any building related health and safety matter which is of concern and cannot be or is not being effectively dealt with by any other authority, or on which information is required
- To ensure that accidents to non-departmental staff are promptly reported to Health & Safety Services in accordance with University procedures
- To report to Estates and Digital Services when any fire equipment for general use in the building is seen to be missing or faulty
- To ensure that first aid boxes not held in particular departments are checked regularly against the list of contents and any deficiencies made good
- To coordinate with department managers a review of the Emergency Evacuation Plan
- To ensure in conjunction with Estates and Digital Services that fire alarms in the building are tested once a week and that the test is suitably recorded
- To organise an emergency evacuation of the building at least annually (or more frequent as defined by the Fire Safety Manager) and to record the event in the Building Fire Safety Logbook and to send a report to Health & Safety Services
- To ensure, by liaison with occupants of the building, the maintenance of unobstructed means of escape in case of fire

There are several other key posts that are required to ensure the robust implementation of the University’s Health and Safety Procedures. These are detailed in the document UHSP-22 Key Safety Roles.

### 1.3 Other Responsibilities

#### 1.3.1 Line Managers

Those members of staff in an academic department or support service who have managerial or supervisory duties in relation to other staff, students, learners or any facility operated by the department or service. All line managers are responsible for health and safety matters within their control and will be responsible for the health safety and welfare of their direct reports. They will ensure:

- The practical implementation of this health and safety management system and arrangements and all associated procedures as applicable to your team’s undertakings.
- To ensure that wellbeing is embedded within the local processes and operational activities and that the University’s occupational health provision is well understood by managers and staff.
- That responsibilities for health, safety and welfare are properly assigned, accepted and understood at all levels of their area of control.
- That risk assessments are conducted and hazards adequately controlled prior to the commencement of any work activity, including COSHH, DSE, and manual handling etc.
- Ensure that all accidents, incidents and near misses are reported and investigated where necessary in line with University procedures.
- All employees under their control are aware of their health and safety responsibilities.
- Take appropriate action and ensuring prompt attention on any representation submitted by any employee/others who have comments or concerns regarding health and safety.
- That due consideration is provided when employees report health and safety concerns and promote a positive health and safety culture.
- Demonstrate a commitment to health and safety excellence and continuous improvement.

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A line manager responsible for managing or supervising other line managers, as part of a hierarchical structure, must also ensure that those subordinate line managers enforce the compliance requirements described in the previous paragraph.

**1.3.2 Staff**

All employees must take personal responsibility for their own health and safety and that of others who may be affected by the actions or omissions and will:

- Familiarise themselves with, and conform to, the relevant parts of the University health and safety management system at all times.
- Demonstrate a positive attitude towards health and safety in the conduct of all work activities.
- Contribute to the improvement of health and safety processes and standards at the University.
- Ensure that any equipment issued to them to carry out their work activities or for which they are responsible, is correctly used, maintained and stored.
- Ensure all incidents, accidents near misses and property damage is reported following the process detailed in the document UHSP-02b Accident Reporting and Investigation Policy and to their line manager.
- Co-operate with their managers in implementing the requirements of all H&S policies and procedures.
- When working at a premises not controlled by the University, ensure they comply with local health and safety procedures.

**1.3.3 Students and learners**

In line with the principles of the Student Charter and the apprenticeship scheme agreement, students and learners must co-operate in safe working procedures, raise concerns through their academic supervisor or tutor and should not:

- Proceed with any activity if they feel it poses a threat to their health and safety, or to that of others.
- Interfere with or misuse anything, any objects, structures, or systems of work, provided by the University in the interests of health and safety.

Students receiving honoraria as demonstrators or for carrying out other duties within the University will be treated as employees in respect of these duties.

**1.3.4 Contractors**

Any College, School, Division or Department which engages an approved contractor must ensure that they meet the pre-qualification criteria, remain competent and able to demonstrate they can work safely. There must be good communication and co-operation between contractors throughout, and a competent person must review all contractor’s health, safety and emergency arrangements before any work can commence. Contract work will be managed according to the principles set out in UHSP-28a: Control of Contractors.

**1.3.5 Tenants**

Tenants/third parties occupying locations on campus are directly responsible for all health and safety matters which relate to them and their occupation. They must comply with all current health and safety legislation and the University’s Health and Safety Policy, where applicable, on such matters. Failure to do so could be classed as a breach of the tenancy agreement.

**Part 2 - Arrangements**

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The arrangements to implement the Health and Safety policy form the framework of the health and safety management system which is made up of subordinate policies, procedures and guidance.

### 2.1 Sub-ordinate Policies, Procedures, and Guidance

The University Health and Safety Committee, has approved the publication of sub-ordinate documents under the authority of this policy. These consist of:

- *Policy and Procedure Documents*- which set out how something is to be achieved. These are produced by Health & Safety Services and have the authority as the official mandated method for the specific topic
- *Guidance documents* - which can be produced at any level of the University and are provided to strongly guide (but not give authoritative statements) on health and safety issues.

NB. If guidance is not followed a suitable risk assessment must be undertaken showing that an alternate way of working can be undertaken at the same level of safety (or better) for all involved.

In all cases the University documentation is subordinate to law (acts of parliament, regulations and other statutory instruments), court orders, and instructions from HSE or other relevant inspectors who are appointed to provide instruction on health and safety matters.

A list of these subsidiary documents may be found on Health & Safety Services webpages.

The supplementary procedures which form the management system is maintained to meet the requirements of this policy and current requirements outlined in ISO 45001. Some of these key areas are as follows:

#### Risk assessment & planning

The process of compiling and reviewing the Corporate, College, Division and local Risk Registers provides a means of identifying risk and planning for a safe and healthy university environment. In considering risk, the key health and safety risk factors will be those of:

- External – such as statutory and legal requirements
- Internal – such as significant changes in organisational structure, activities and operations [local, regional, national or international], infrastructure / equipment / processes or management systems

Effective planning for health and safety is integral to existing planning mechanisms. Good health and safety management starts with the identification and control of key risks. A risk assessment process is in place which includes the assessment of location and activities hazards. It is the responsibility of directors and managers to ensure the assessments are understood and highlight the control measures that will ensure safe working practices in accordance with UHSP-03 Risk Assessment Policy.

#### Identification of legal and other requirements

Our health and safety management system is based on the health and safety requirements laid down in UK statute. Health & Safety Services keep a register of legal requirements.

#### Targets and objectives

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The University will establish implement and maintain documented health and safety targets and objectives for the organisation. The objectives will be measureable and based around the prevention of injury, ill health and compliance with applicable legal requirements. This will be managed through the balance scorecard and the College or Corporate Service division health and safety plan.

**Competence training and awareness**

All staff are offered Health & Safety induction training on commencement of their employment. Further specialist training is provided, as necessary, according to job requirements. All managers are charged with the responsibility, through the risk assessment process or otherwise, of identifying the specific training needs of their staff. The details relating to this are outlined in the document UHSP-04 Information, Instruction, Training and Supervision Policy.

**Communication & Consultation**

We have established a health and safety committee and will communicate with staff on an as required basis. Details relating to this and the mechanisms by which we do so are outlined in the document UHSP-20 Health and Safety Communications and Consultation.

**Documentation**

Our health and safety management system has been developed in modular format. All documentation is available on the Health & Safety Services webpages.

Records are stored on a secure site file server, or as hard copy within the department or as identified in numerically referenced procedures, work instructions or forms. Training, legislative, records etc. are maintained for the statutory periods.

**Operational control**

The University deploys a mix of self-delivery and supply chain to deliver services. Contractors are required to adhere both to their own and the University’s procedures whilst working in our buildings and centres. Various documents, in the form of procedures, attachments and guidance notes are available on Health and Safety Services webpages.

A ‘permit to work’ system is in place via Reset covering both low and high risk activities, in accordance with procedure UHSP-28a Control of Contractors.

**Emergency preparedness and response**

The University has established processes to identify potential emergency situations and potential accidents that can have an impact on staff, students, learners, visitors and those who may be affected by the University’s activities, the University buildings and how the University will respond to emergencies. These are periodically reviewed and periodically tested. The arrangements for this with regards to fire are outlined in the documents UHSP16a-f. Other hazard types are discussed in their respective policy/procedures and the University maintains a disaster management and business continuity plan.

**Checking: Performance measurement and monitoring**

Performance measurement is an integral part of our management processes and we use a combination of both qualitative and quantitative measures which are appropriate to the nature of our business. This is in the form of proactive indicators (risk assessments, inspections) etc. and re active measures (monitoring accident and ill health statistics). UHSP-02b details our processes for reactive measurement and UHSP-03 & UHSP-21 detail our processes for proactive monitoring.

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**Incident investigation, non-conformity, corrective action and preventative action and Incident investigation**

The recording and investigation of incidents is described in UHSP-02b and contains details and a tool for investigations designed to identify immediate and basic courses of incidents the need for identifying corrective action in order to prevent re occurrence.

Details of incidents are collated via a database and are escalated to key stakeholders within the organisation.

**Control of records**

The University has established and maintains records as required to demonstrate conformity to the requirements of our health and safety management system and in line with ISO 45001.

We will also ensure that records are identified, stored, in a secure manner and that processes exist (where necessary) for the retrieval, retention and disposal of records.

All records shall be and remain legible, identifiable and traceable (unless permanently destroyed).

**Internal audit**

The effectiveness of the health and safety system is evaluated by planned audits. Health and Safety audits are conducted by Health & Safety Services in accordance with the process detailed in UHSP-18 Auditing Policy.

**Policy review**

The Health and Safety Policy document sets out the health and safety aim of the University and outlines the general organisation and arrangements in force throughout the University for ensuring a safe and healthy working environment.

The Health & Safety committee shall formally review the University Health and Safety Policy at least every two years. Sub-ordinate policy documents shall be formally reviewed at least every three years.

Departmental/divisional health and safety work plans and the allocation of responsibilities for the designated staff shall be reviewed at least annually to ensure that all necessary roles are filled, and that the workload is reasonable. Formal reviews are recorded at relevant Health and Safety forums (*e.g. Management/ Staff Meetings, College H&S committee meeting*), but may be conducted over as long as is necessary in advance of the meeting. Key Health and Safety role holders should be involved in this process and supported by the Health and Safety Business Partners.

The Departmental Safety Officers shall be notified, and provided with copies of, all new documents, their date of approval, date for coming into force (*if different*), and dates of review. This will enable effective document control in line with the University's health & safety management system.

Typical areas to be reviewed include but are not limited to:

- Organisational changes and resourcing requirements
- Compliance evaluations
- Accident statistics and data relating to accidents and incidents that have occurred
- Effectiveness of health and safety system documentation
- Effectiveness of the system in practice in departments
- Audits (internal and external) conducted since the last review
- Health and safety programme performance
- Corrective actions carried out to the system since the last review
- Health and safety records

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- Local policies
- Emergencies (actual and exercises) and emergency preparedness
- Hazard identification, risk assessment and risk control processes
- Effectiveness of the inspection process

### Housekeeping

Good housekeeping contributes to personal safety and fire prevention in the workplace. University staff are encouraged to maintain a clean and tidy work area, and ensure that the area is kept clear of any waste.

### Visitors

The host will ensure that all visitors are made aware of all risks and controls measures in place and receive the required briefing sessions on site arrangements.

### Insurance

The University's Insurance and Risk Officer is responsible for University Insurances and contributing to loss control management.

University insurance provides indemnification to its staff (*including Heads of Departments, Departmental Safety Officers, and Building Safety Supervisors*) and members of Council against civil (*i.e. non-criminal*) liability in the event of injury to persons or damage to property in respect of their responsibilities and duties under health and safety legislation. The University's policies protect the University and its employees against costs and expenses (but not against any fine) which may result from criminal prosecution under the Health and Safety at Work Act and/or Regulations made under the Act. There can be no insurance against criminal liability and proceedings arising from failure to comply with the provisions of the Act.

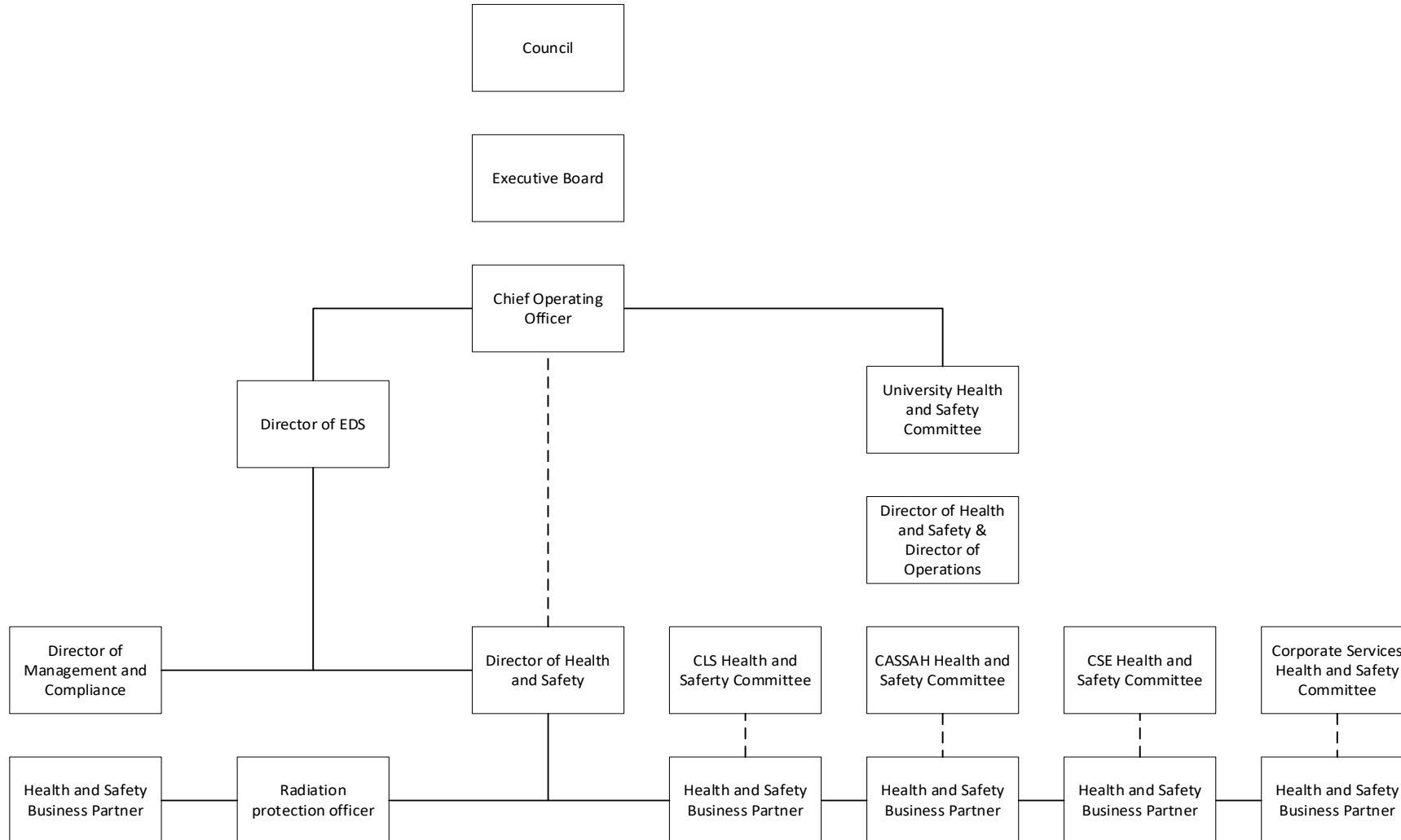
## 3. Revision History

Date of Issue	Version number	Amendments Made
31/01/2020	1.0	First issue
19/02/2020	1.1	Updated Registrar to Chief Operating Officer. Updated the flowcharts in the appendix
14/12/2020	1.2	Periodic review. Minor amendments made throughout. Amendments also to Appendix 1





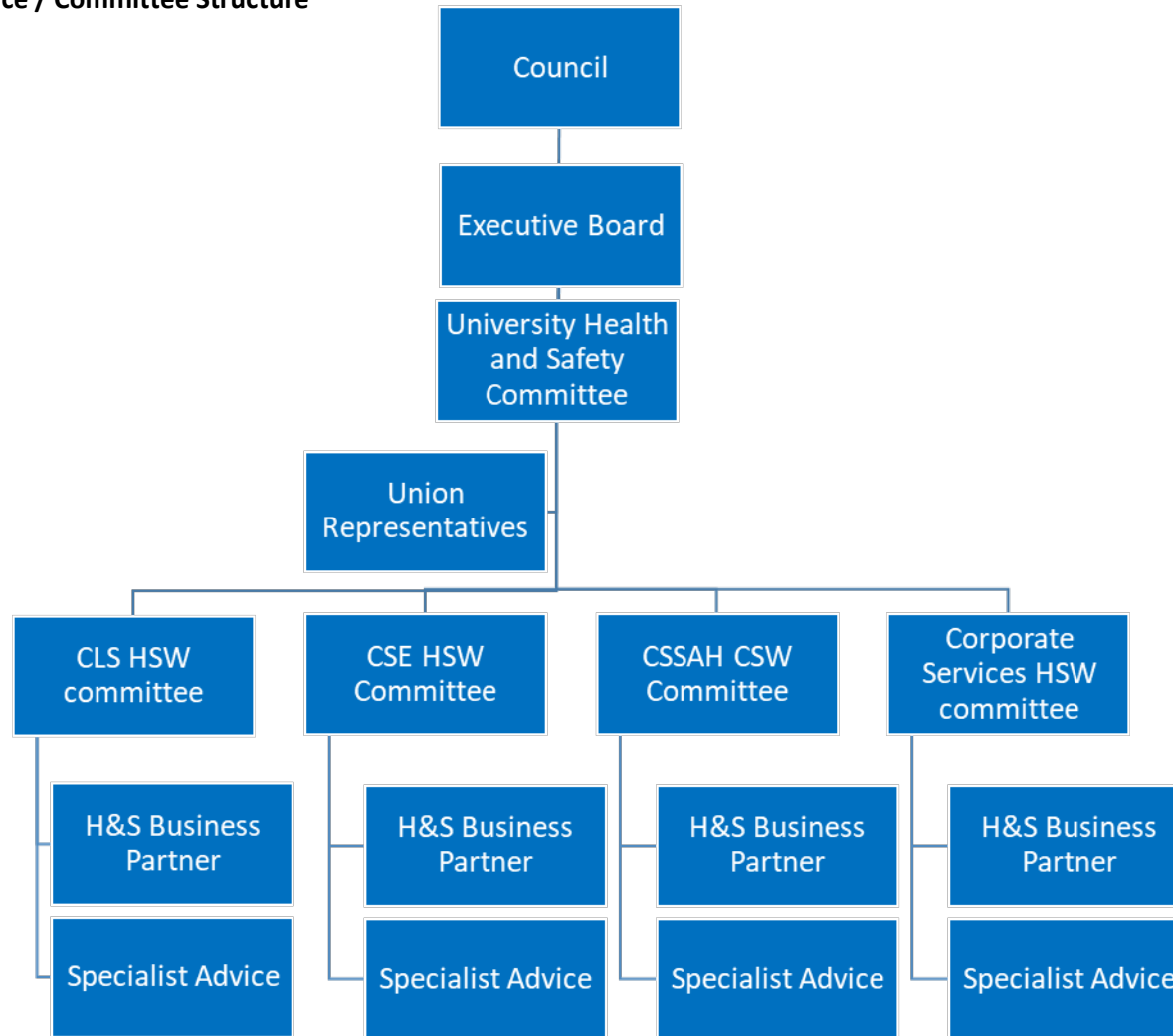
Appendix A – Health and Safety at the University of Leicester



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Appendix B - Governance / Committee Structure



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**Appendix C: Additional (Specialist) H&S Advice**

The University has an established resource for the provision of competent advice in specialist fields. These include:

- Fire
- Radiation
- Chemical and Biological
- Asbestos
- Water Hygiene
- Training
- Electricity
- Medical Gas

This resource is a mixture of internal university staff and external specialist consultants.

Advisors will provide support to the relevant H&S Business Partner to ensure that policy is implemented in a consistent manner across the full range of university activities *[staff names and contact details may be found on Health & Safety Services webpages]*.

**Biological and Chemical Safety Officer** - responsible through the Director of Health and Safety for providing an advisory, instructional and training service to University Schools and Departments on all aspects of hazardous chemicals, hazardous biological agents and genetically modified organisms. The maintenance of necessary records and acting as the University Biological Safety Officer for genetic modification work.

**Fire Safety Manager** - responsible through the Director of Health and Safety for providing an advisory, instructional and training service to University Schools and Departments on all aspects of fire safety and, in consultation with Building Safety Supervisors, preparing emergency plans for all University premises. Duties include liaising with Estates and Digital Services and building occupiers to ensure that University buildings are constructed and/or modified in accordance with relevant statutory and other appropriate fire safety standards and carrying out fire risk assessments of the University building stock.

**Radiation Safety Officer** - responsible to the Director of Health and Safety for all aspects of the use of ionising materials and ionising apparatus in the University as set out in the University Radiation Protection Rules. The Officer's duties are to supervise on behalf of the Radiation Safety working group the arrangements for the maintenance of radiation safety in the University, to give advice to the appropriate Departmental Radiation Protection Officer or, where necessary, directly to Heads of Department or individual experimenters. To supervise the administration of the licences issued by the Department of the Environment for the use of radiation sources in the University.

**University Laser Safety Officer** - The Laser Safety Officer reports to the Radiation Protection working group and is responsible for the supervision of all aspects of safety with lasers used within the University. The Officer's duties are to supervise the implementation of laser safety procedures as detailed in the document UHSP-32c Laser Safety Policy.

**Health and wellbeing**

Reporting to the HR Director, Occupational Health - provide advice on all occupational health matters including

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- Monitoring of the health of University staff, and those postgraduate students involved in medicine and biological sciences, and other science/research departments.
- Management of all health problems where they impact on an individual's working capacity (i.e., sickness absence referrals, ill health retirement).
- Assistance with the control of the risk to individuals from possible health effects relating to their work.
- Promotion of best practice to empower people to be responsible for their own health (i.e., health promotion initiatives and health awareness days).
- Work Health Assessment and fitness-to-work assessments
- Programmed occupational health surveillance
- Assistance in the management of sickness absence
- Assistance to enable compliance with occupational health and safety procedures and protocols.
- Assistance to enable compliance with health and safety legislation (i.e., COSHH health surveillance, immunisation programmes).
- Support and advice for management on all aspects of staff health.

### Estates and Digital Services

The division has a Health and Safety Business partner and specialist advisors to provide advice and work with the above colleagues to ensure compliance of infrastructure and associated services, in relation to:

- Asbestos
- Water safety and quality
- Gas and pressure systems.
- Lifts and lifting equipment
- Air quality conditioning and local exhaust ventilation
- Electrical supplies
- Construction Design and Maintenance
- Insurance and Loss Prevention

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**Appendix D - Infrastructure – compliance and responsibilities**

The University infrastructure (fabric of all buildings, all water supplies, sewers, plant rooms, boiler houses/sub-stations, ventilation systems and gas pipes etc.) are all deemed to belong to Estates and Digital Services unless they have explicitly (in writing) given control to another part of the University. If the transfer of control is agreed then the College or Division ‘owning’ the specific infrastructure asset shall be required to mirror all relevant safety management (policy and procedures) operated by the Estates and Digital Services and to maintain a direct mirror at all times.

“Estates asset” includes only permanent building fabric, “building infrastructure services” assets and external elements of the University site installed and controlled by Estates. Other assets which may be fixed to or rest upon an Estates asset or are connected from or to the final point of connection of building infrastructure services are excluded. Use and or connection to Estates assets must be in accordance with “Estates requirements”.

**Building infrastructure services**

Specific inclusions:

- Electrical power and general lighting and emergency lighting systems up to the final socket, isolator or general light fitting.
- Fixed UPS systems up to the point of connection.
- Natural gas distribution systems up to the final isolator or connector.
- Fixed medical or special gas distribution systems up to the final isolator or connector.
- Gas detection and alarms systems.
- Steam and condensate distribution systems up to the final isolator or connector.
- Compressed air distribution systems up to the final isolator or connector.
- Fixed hot and cold-water systems up to any tap, final isolator or connector up to the final isolator or connector.
- Fixed water purifications systems up to the final isolator or connector.
- Sanitation and drainage systems from any general waste inlet or specialist interceptor.
- Fixed general space heating systems.
- Fixed refrigeration equipment and chilled water or DX pipe installations up to final room unit
- Air handling units, fans and ventilation equipment including ductwork up to final diffusers.
- Fixed LEV and laboratory containment systems.
- Fire prevention, detection, alarm, control and evacuation systems.
- Fixed passenger and goods lifting equipment.
- Security detection, alarm and control systems including CCTV and intercoms.
- Building Management Systems.
- Pneumatic tube conveyor systems
- Thermal insulation to the above systems

Specific exclusions:

- Any portable or moveable appliances or equipment including but not limited to; autoclaves, furnaces, ranges, freezers, moveable water purification or processing units, gas cylinders, bench UPS’s etc.
- Swimming pool water systems and spa baths or similar.
- Specific academic systems maintained and used by Colleges such as but not limited to the following examples; geography rain water tower, hydraulics lab water system etc.
- Any other system which has not been authorised or installed by the Estates department.

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### **Estates requirements**

- Users must only connect to building infrastructure at suitable designated connection points such as but not limited to the following examples; taps, sockets, outlets etc.
- All connections to final isolators must be undertaken by Estates such as but not limited to the following examples; water valves, gas valves, electrical rotary isolators etc.
- All alterations, modifications or changes including changes in use of existing equipment affecting Estates assets must be authorised.
- Any Estates asset which is not used or connected to safely, such as (but not limited to) the following examples;
  - LEV systems where health and safety information is not available inspectors or maintainers,
  - Equipment connected to water systems without backflow prevention, low use water outlets, disposal of inappropriate waste into waste water systems etc.

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