

University Health & Safety Arrangements: Chapter 13



Faculty, School and local policy statements, organisation and arrangements

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Target audience:	Deans of Faculty; Heads of School; Directors of Professional Support Services; Heads of Research Institutes; Directors of JRUL, Manchester Museum, Jodrell Bank Discovery Centre, Whitworth Art Gallery and equivalent senior managers; school and local safety advisors

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Introduction

1. The University Policy delegates the responsibility for producing local policies to Deans of Faculty and senior managers as defined in section 13 of the [Organisation](#). These managers may well delegate further to managers of units within their areas. The higher policy document sets the scene for the family tree of policies sitting under it. As the organisational unit gets smaller, policies can become more specific and detailed, and directly relevant to those carrying out the work activities.
2. This document is designed to assist managers in preparing their local policy statements, organization charts and health and safety arrangements. As a bare minimum each of the section headings in this document should be addressed in the statement, but the manager responsible for the policy should ensure it covers *all* the activities and risks relevant to their areas, including any not listed in these headings.
3. Statements for faculties should describe the relationship between the faculty and schools and research institutes, where applicable, and the detailed arrangements for delegation and accountability through the line management chain.

Statement of Policy/Intent

4. A statement of policy/intent is the overarching vision and strategy for ensuring the safety and health of staff and students in that managed unit. Senior managers should specifically accept responsibility for implementing it. It will usually start therefore with a statement something like: "I, (insert name), as the (insert title), hold overall responsibility for ensuring the health, safety and welfare of all those affected by the work undertaken in (insert faculty/school/etc)". This will often be followed by some commitments and targets for the unit. Commitments, for example, could be to:
 - a) Continuous improvement in health and safety
 - b) Regular review and development of the policy statement;
 - c) Planning for health and safety;
 - d) Effective communication of health and safety;
 - e) Involving staff and student representatives in the management of health and safety;
 - f) Allocating adequate resources to health and safety;
 - g) Securing the competence of staff;
 - h) Securing competent health and safety advice;
 - i) Complying with applicable legislation and University Arrangements/Guidance.

5. Text copied and pasted from another document usually stands out. Content can be shared (e.g. between schools with similar course portfolios), but must be tailored to the individual circumstances.

Organisational Control, Responsibilities and Roles

6. Effective safety management will probably require the delegation of actions to personnel throughout the Faculty / School / Directorate structure. The policy statement should clearly explain the roles and responsibilities of:
 - The Senior Manager
 - Other line managers, supervisors, etc.
 - Specified roles, E.g. SSA, DSE Assessor, Fire Marshals, etc.
 - Staff and students
7. It can be particularly helpful to show the safety management structure diagrammatically, for example using an organogram or flow chart.
8. It should be clear within the roles and responsibilities section who staff should go to for advice and assistance. The contact details for the relevant University Safety Coordinator may also be included.
9. The safety management system must also include a means of involving and consulting with all sections of staff. One way of doing this is to set up a health & safety committee. Such committees should have written terms of reference, membership (which should include representatives from recognized trade unions and other staff representatives), and roles such as monitoring of accidents and near misses; managing the local inspection programme; responses to University-wide issues (including safety circulars, etc). If a health and safety committee is not established and alternative means put in place, great care must be taken to ensure effective consultation and involvement of all sections of staff.

Local arrangements

10. To ensure that everybody fully understands what is expected of them, the statement should be supported by a further document or series of documents referred to here as "Local Arrangements". These may be known within schools and directorates by various titles, including methods of work, standard operating procedures, operating instructions, permits to work, policy manual, local rules, etc.
11. Local arrangements should be a set of clearly defined expectations or standards which everybody in the unit should follow. They will usually be derived from risk assessments, and amount to a system of risk control. The arrangements should clearly state:

- a) What the arrangement is for;
- b) When the arrangement applies or should be applied (E.g. Risk Assessments – should be carried out at the planning stage of the project & reviewed regularly and then stored for x years);
- c) Where the arrangements apply (if site specific) or where the outcomes of the arrangement should be located (E.g. Risk assessments to be stored locally until project complete then stored with HoSA/HoFA/etc.);
- d) Who should undertake the actions outlined in the arrangement (E.g. specified job roles to undertake risk assessments);
- e) How the arrangement should be undertaken (E.g. Risk Assessments should be carried out using the University’s [proforma](#) (or other).

Local arrangements: continuous improvement in health and safety

- 12. Continuous improvement in health and safety can be achieved in many ways. When describing how improvements will be achieved, it is important that consideration is given to how they will be measured and monitored.
- 13. Inspections are often used to check for “failures”, but they are just as effective at identifying good practice and improvements in control. There should be a documented programme of self-inspection that provides feedback which is monitored at a senior level for improvements. There should be clear arrangements about who carries out the inspections; when, where and what is covered, and how the results are reported and followed through.
- 14. Monitoring of individual and unit performance can provide an insight into how performance varies over time or by the implementation of new controls. In the case of individuals, monitoring can for example be part of 1-to-1 meetings or PDRs.
- 15. Monitoring should seek to use a mixture of “lag” and “lead” indicators. Typical lag indicators are accident statistics, which are in effect a measure of system failure, i.e. something has already gone wrong. Lead indicators are a more positive indication of achievement, and may include, for example, % completion of targets set for risk assessment reviews per annum, or inspection programmes, reviews and updates of existing local arrangements, improvements in audit scores or ratings, numbers of actions identified, tracked and closed on time, etc.

Local arrangements: planning for health and safety

- 16. Good safety management systems work proactively, both in terms of risk assessment, but also in terms of ensuring that faults in the safety management system are identified and resolved before they present a problem.

17. Whilst the reviews mentioned earlier will identify faults, it is important that planning is not a “once a year activity”. Written systems should be put in place to ensure that potential issues with safety critical equipment, personnel or control measures are proactively identified and resolved. For example, the long-term sickness/retirement/etc of an SSA could mean that a school is left without competent advice; this risk could be reduced by appointing a deputy SSA.

Local arrangements: ensuring adequate resources

18. It is important that when designing a safety management system, sufficient resources are provided to ensure it works effectively. There should be a commitment in the safety policy from the senior manager to ensure that adequate resources are made available and reviewed on a regular basis. Resources can be people, time, money or physical commodities.

19. People resources can be those with particular safety duties, such as those listed below or those with more generic supervisory or managerial roles. Schools / Directorates should appoint, where appropriate, the following: -

- a) School / Directorate Safety Advisor plus deputies / assistants.
- b) Radiation Protection Supervisor(s), School Laser Safety Advisor plus deputies / assistants
- c) School Biological / GM Safety Advisors
- d) Roles with additional training – DSE Assessors, First aiders, Fire evacuation marshals, etc.

20. Staff assigned such roles should receive written confirmation by a letter of appointment and authorization to act on behalf of the senior manager, or other similar means. Their job description may need to be reviewed, and their competency and any training needs should be subject to discussion with their line manager.

21. The term “adequate” is relative to the risk profile of the unit. The senior manager should be able to justify why the resource provided is adequate and how they arrived at that conclusion.

Local arrangements: competence

22. The local arrangements should explain how the competence of all staff is ensured, including (but not limited to) those with specific roles; how it is maintained and what measures such as training and supervision are required.

23. This could be tackled through techniques such as training needs analysis, refresher programmes or passport to work schemes. There should be a mechanism built into the local arrangements to assess the competency of new

staff and contractors prior to appointment. Advice on competency and training options is available from your University Safety Coordinator and from STDU.

24. The local arrangements should include an explanation of what induction training should consist of, who carries it out and within what timescale it should be completed.
25. The local arrangements should also explain how records of training are kept and monitored locally.

Local arrangements: co-operation, communication and managing across boundaries

26. The local arrangements should explain how the unit will co-operate, communicate and consult with staff and students and their safety representatives with regard to safety issues.
27. Consultation: Consultation normally involves formal channels such as committees, through which the senior manager can consult with trade union, staff and student representatives. These bodies should have written terms of reference. The methods of achieving this consultation should be detailed.
28. Communication: Communication is any means by which staff and students are given information or instructions, and they can report their concerns or questions for discussion and response. They can be electronic (if everyone can receive such communications), written, verbal, via notice boards, at team meetings.
29. Working with other organisations and areas within the University: It is important that when staff are working outside of the direct control of a line manager, for example when Estates staff work in a school, or when school staff go to work in a local hospital trust, that the employer and the host cooperate. This cooperation should ensure the safety of the "off-site" member of staff and that of the host. This will often require sharing information about the risks and control measures as well as agreeing management and communication structures. Further information on this can be found in [Chapter 18](#): Working across organisational boundaries, and [Chapter 20](#): University and NHS Trust Shared Premises – health and safety policy for the management of jointly shared workplaces.

Local arrangements: general

30. The following local arrangements to manage risks should be included as a minimum. Further guidance on many of the topics listed can be found on the Safety Services website.

31. Risk Assessment – the arrangements for undertaking risk assessments and implementing control measures. There should be an explanation of who carries out the assessments and who should be involved. The arrangements should also include the expectations for when assessments should be undertaken and reviewed and what should be done with expired risk assessments.
32. Accidents – arrangements for ensuring the timely reporting and investigation of accidents, and assurance of actions taken to prevent recurrence.
33. First aid – arrangements for ensuring that there is an adequate provision of first aid assistance within the areas of operation.
34. Fire Safety and Emergencies – Arrangements for dealing with fires and other emergencies. The following must be included as a minimum.
35. Each unit must appoint sufficient trained fire evacuation marshals for their areas of operation. Units should address any specific fire safety issues arising from the activities undertaken in their areas of responsibility, such as the evacuation of people with disabilities, and enhanced fire risk from the use of explosive, oxidising or flammable substances. Further information can be obtained from the University’s Fire Safety Officer and from Safety Services.
36. Personal Protective Equipment (PPE) including Respiratory Protective Equipment (RPE) – arrangements for identifying the need for PPE, selecting suitable PPE and the means for providing it. Expectations of users may also be detailed in this section (eg. use, storage, maintenance & training).
37. Visitors, Children and Contractors –arrangements for assisting visitors, contractors and children when they come onto campus, including who they should report to and arrangements for their safety whilst on site. It should be noted that no contractors can be brought onto site by Schools or Directorates to carry out work on or make alterations to buildings or building services without the consent of Estates.
38. Lone, Out-of-Hours Working & Off Site Working –arrangements for lone, out-of-hours and off-site working should be described. They should include what work can and cannot be undertaken and any other arrangements that may be relevant.
39. Control of Substances Hazardous to Health (COSHH) – arrangements for carrying out COSHH assessments and the actions to be taken once a COSHH assessment has been completed. Details should also be included on any requirements for specific substances – such as increased security, ventilated storage, purchasing rules, etc.

40. Manual Handling –arrangements for ensuring that manual handling operations are carried out with minimum risk of injury and in accordance with the legal requirements.
41. Display Screen Equipment – arrangements for undertaking display screen equipment assessments and implementing any necessary controls.
42. Electrical Safety – arrangements for ensuring the electrical safety of equipment including the testing of portable appliances (where appropriate).
43. Specific high risk activities – arrangements for dealing with the risks from any specific hazards within the unit, such as ionising and non-ionising radiation, high power lasers, biological and genetically modified materials, carcinogens, sensitisers, etc.
44. Occupational Health – arrangements for ensuring that appropriate referrals to Occ Health are made for anyone requiring health surveillance or monitoring. This may include, for example, pregnant workers or those with pre-existing medical conditions.
45. Fitness to work – Arrangements for ensuring that where necessary, all members of staff and students have a current fitness to work certificate.
46. Other – This list is not exhaustive, and Schools and Directorates should ensure that their local arrangements cover all other activities that are specific to them.

Review and Monitoring of Performance

47. When writing the policy and local arrangements, thought should be given to the wording of commitments and expectations as they effectively set targets for achievement. However, the documents should include targets and how these will be measured. Targets could, for example, relate to:
 - a) Continuous improvement in standards of accident investigation;
 - b) Improvements following recent inspections, audits or incidents;
 - c) Competency;
 - d) Implementing the Safety Plan;
 - e) Reviewing the safety management system;
 - f) Checking the consistency of risk control.
48. A system for monitoring standards should be detailed. This system should utilise local staff in undertaking inspections, spot checks and system reviews. This could have reference to the annual monitoring reports.

49. Arrangements should also include monitoring carried out by senior managers or committees by reviewing the results of audits, inspections and investigations. The responsibilities and mechanisms for these reviews should be documented under roles and responsibilities but can also be referenced under review and monitoring.

50. Reviews can also be carried out through the PDR process. Where individuals, including managers, are identified as leading specific health and safety related projects or where specific training is identified, the PDR process can capture this information and ensure that action is taken. The arrangements should highlight this opportunity.

Miscellaneous Issues

51. Please note that the role of Safety Services, and the University Safety Coordinators is to provide advice and guidance on statements written by senior managers in Schools and Directorates, and in particular to assist with the interpretation of legal and University requirements.

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