



UNIVERSITY OF  
BIRMINGHAM

# Health & Safety Policy

## Health and Safety Policy

POLICY UHSP/01/2024



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# Health and Safety Policy

## 1. Introduction

This policy outlines the aims, organisation, and arrangements for health, safety and wellbeing at the University of Birmingham. The policy has been developed in consultation with staff and their representatives (the Trade Unions), to meet the legal obligations under the Health and Safety at Work etc. Act 1974 and all other relevant statutory provisions (including the Management of Health and Safety at Work Regulations). The University Health and Safety Policy is considered to be a *Code of Practice* for the purposes of the Regulations of the University of Birmingham.<sup>1</sup>

The policy applies to all areas where University activities are undertaken, including overseas delivery and research (for example at the University of Birmingham Dubai and our collaboration between the University and China), in shared premises, and as part of all other partnership working arrangements (for example the High Temperature Research Centre).

The policy is in three parts and is supported by a comprehensive set of additional policies and guidance documentation that can be accessed via the staff intranet.

Part 1 Statement of Intent

Part 2 How we organise to implement the policy

Part 3 Arrangements (policies that support implementation (includes appendices))

The policy will be reviewed by UHSEG two yearly or as circumstances dictate by changes in either Legislation or the University's Organisational Structure, and the Statement of Intent signed by the Vice-Chancellor following each review.

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<sup>1</sup> Legal Services will be able to advise with any queries relating to this



## Part 1 Statement of Intent

- 1.1 **The University of Birmingham is committed to providing and maintaining a healthy and safe working environment that promotes wellbeing for all its students, employees, visitors, and others who may be affected by University activities. The ultimate responsibility for ensuring implementation of this policy lies with University Council as Governing Body, the Vice-Chancellor as its Chief Executive, and the University Executive Board.**
- 1.2 High quality health and safety arrangements are a feature of world class Higher Education institutions and are particularly important in relation to the University's research capability. This policy is devised so that the health and safety arrangements will directly contribute to our overall success.
- 1.3 In accordance with its legal obligations, the University will establish and maintain appropriate systems to meet the requirements under the Organisation and Arrangements sections of this Policy, thereby ensuring that the above responsibilities are fulfilled and in particular will establish a proactive system of risk management for identifying, assessing and managing risks.
- 1.4 The University Executive Board will ensure that adequate resources are allocated to establish and maintain the appropriate systems to meet the requirements under the Organisation and Arrangements sections of this Policy and control health and safety risks within the University.
- 1.5 Colleges or Professional Services Departments are not expected to create their own health and safety policies, but instead to develop local Implementation Statements that set out how they organise to ensure this Policy is implemented in each College and Professional Service.
- 1.6 The University is taking an "intelligent regulation"<sup>2</sup> approach to developing the processes and arrangements that implement the Health and Safety Policy. This will consist of ensuring we are fully aware of the risks, have effective and proportionate risk controls in place at all times, and that positive safety outcomes are achieved routinely and without undue bureaucracy.
- 1.7 In practice, this will require health and safety risks to be identified and assessed in advance of significant exposure to them, and effectively controlled. The formality and complexity of these arrangements will be proportionate to the risk and where similar risks are encountered in different areas of the University, it is expected that there is a single, consistent approach.
- 1.8 The overall objective is to ensure the ***right action is taken, by the most appropriate person and at the right time*** with the emphasis on taking action to achieve safe outcomes. Through this emphasis, the University will, so far as is reasonably practicable, create safe workplaces, safe people, safe equipment and materials, and safe systems of working.

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<sup>2</sup> The Intelligent Regulation community of practice at the University has the aim to consider the ways in which Professional Services can take a proportionate and intelligent approach to managing external regulation.



- 1.9 The University is committed to ensuring the progressive improvement of health and safety performance, with the ultimate aim of creating working practices and working environments that prevent or reduce work-related illness and injury and promote a positive health and safety culture. Where accidents and incidents occur, the University is committed to learning from each significant experience and avoiding a blame culture.
- 1.10 A positive safety culture also requires active engagement and positive behaviour at all levels especially leaders and managers who may influence behaviour, and set examples for others to follow. Challenging unsafe behaviour and encouraging everyone to be actively involved in implementation is encouraged at all levels.
- 1.11 Collaboration between colleagues and in particular the Trade Unions is also an important element of our approach. This policy establishes formal links with them and aims to promote active involvement from their membership.
- 1.12 The University will provide relevant and comprehensible information to students, staff, and visitors, along with instructions and training where it is appropriate to ensure all role-holders are both competent and confident regarding the risks they encounter and their role and responsibilities.
- 1.13 Where ideas and good practice emerge from any area of the University these will be shared across the University through the reporting structure and the various groups and committees that make up the health and safety community of practice.
- 1.14 Access to competent advice is an important element of our health and safety management system, but it must be understood that implementation of this policy is the responsibility of everybody at the University. As a result, everyone in the University is expected to engage positively in implementing this policy. Failure to do so will be investigated and followed by appropriate action.

**I expect all members of the University community to actively engage in implementing this policy. I thank you for your assistance in ensuring the University continues to be a safe and healthy environment and one where the wellbeing of our staff and students can flourish.**

Professor Adam Tickell

Vice-Chancellor

Date: 27<sup>th</sup> November 2024



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## Part 2      How we organise to implement the policy

### 2.1      Organising to implement the policy

- a)      The ultimate responsibility for ensuring implementation of this policy lies with University Council as governing body, the Vice-Chancellor as its Chief Executive, and the University Executive Board. In practice, the members of University Leadership Group (ULG) (which includes Heads of School and Senior Officers) share the responsibility for implementing the policy throughout the institution, and all staff and students are expected to take the necessary action to positively engage and take appropriate action.

### 2.2      Distribution of responsibilities

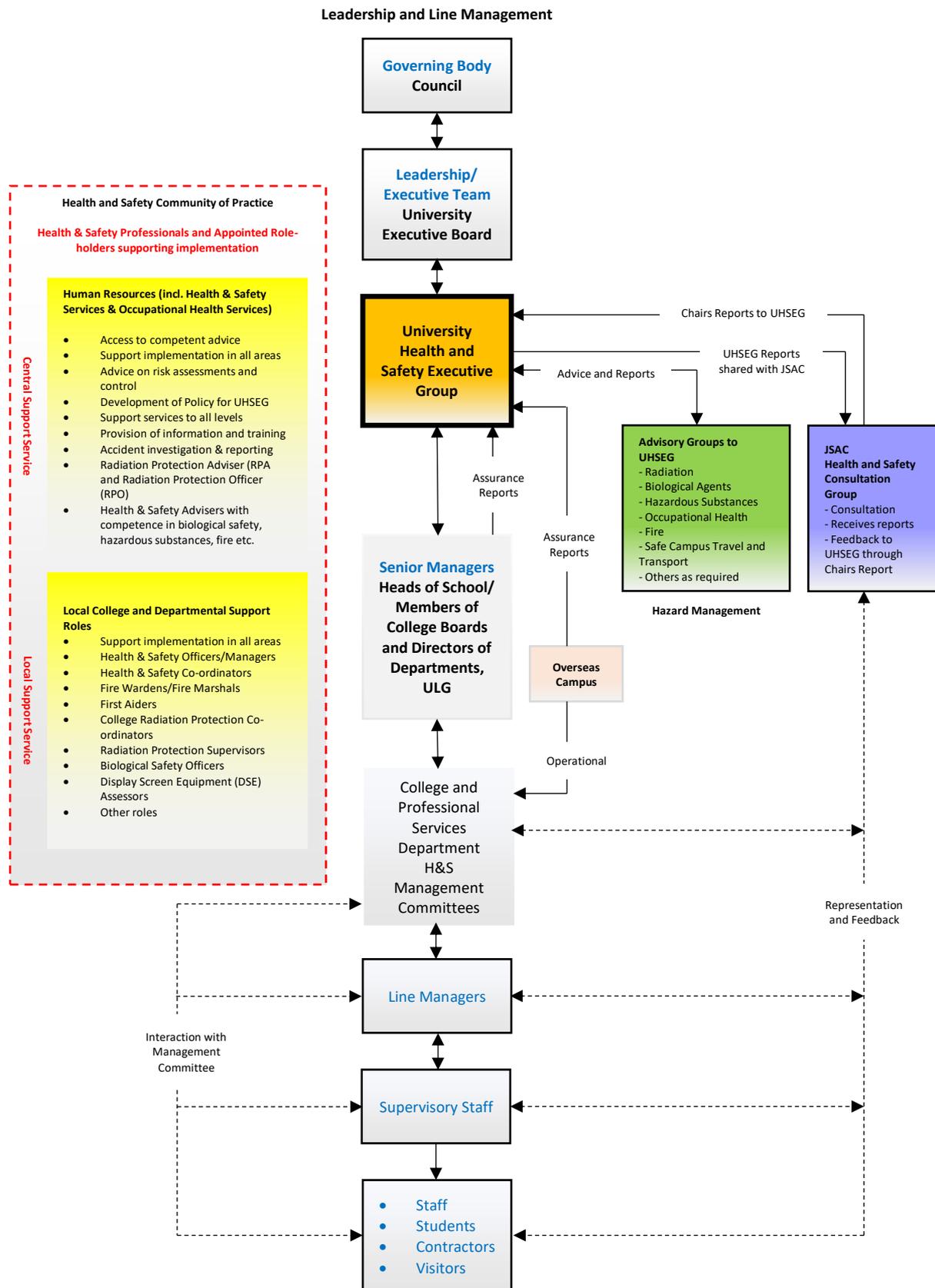
- a)      The distribution of responsibilities as outlined in this policy is recognised as a good practice approach, which will meet the University's legal obligations<sup>3</sup> and closely follows the model set out in the sector guidance "*Leadership and Management of Health and Safety in Higher Education Institutions*" (UCEA 2023). *UHSP Appendix B* outlines the key management actions that are relevant to all role holders.
- b)      Figure 1 shows the relationship between line management roles and support roles.

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<sup>3</sup> Including Health and Safety Executive (HSE) Guidance Note HSG 65 *Managing for health and safety* (2013), and the *Management of Health and Safety at Work Regulations (1999 as amended)*.



Figure 1 – Line management and support structure for implementing the policy



## 2.3 Reporting structure, groups, and committees

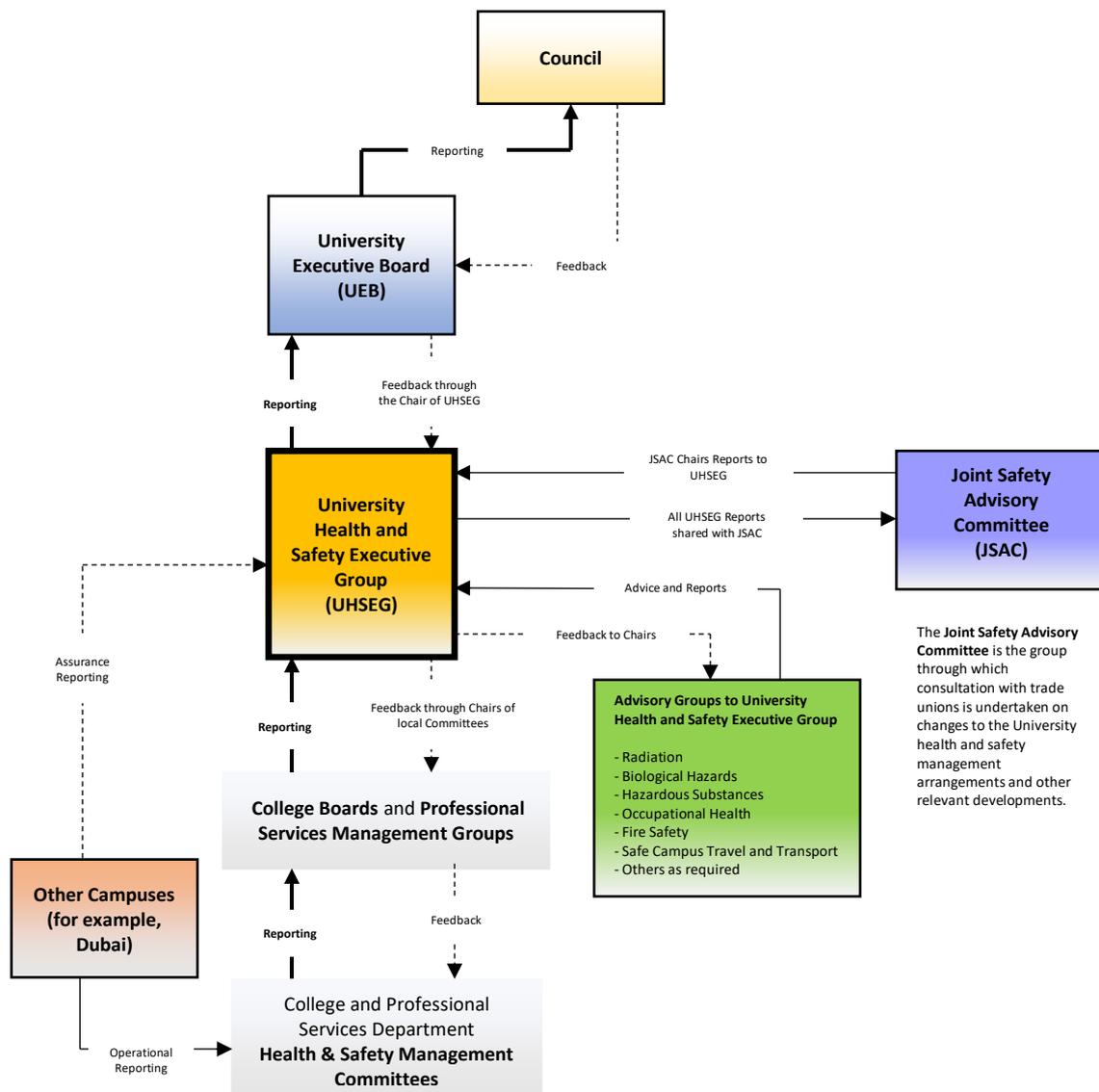
- a) The **University Health and Safety Executive Group** (UHSEG) sits at the centre of the health and safety management system and reporting structure as shown in figure 2. UHSEG determines the strategic priorities and objectives, agrees the institutional health and safety risk register, and oversees implementation of the policy on behalf of the University Executive Board (UEB). UHSEG are supported by a number of committees and advisory groups, including the Joint Safety Advisory Committee (JSAC), which undertakes formal consultation on relevant matters with Trade Unions and reporting structure. The terms of reference for UHSEG are found in *UHSP Appendix I*.
- b) Each College and Professional Service Department is expected to organise implementation of the University Health and Safety Policy through a **Health and Safety Management Committee**. The management committees are expected to **co-ordinate the implementation of University policy** across the College or Professional Service Department. This includes undertaking the work on behalf of the Head of College or Director of Professional Services Department to nominate sufficient senior managers, supervisors, and health and safety role-holders to implement the policy and to develop and maintain the **Implementation Statement, Risk Assessment Tracker** and **Health and Safety Improvement Plan**. The committees also provide **Termly Assurance Reports** to UHSEG (see *UHSP Appendix K* for further detail). The terms of reference for the management committees are set out in *UHSP Appendix I*.
- c) UHSEG is advised on specific areas of policy by the following **Advisory Groups** who may be directed by UHSEG to address specific issues where appropriate. The Advisory Groups are chaired by an appropriate senior manager (Head of School or Assistant Director of Professional Services) and are required to provide termly assurance reports to UHSEG.
  - i) Biological Hazards Advisory Group
  - ii) Hazardous Substances Advisory Group
  - iii) University Radiation Safety Advisory Group
  - iv) Safe Campus Travel and Transport Advisory Group
  - v) Occupational Health Advisory Group
  - vi) Fire Safety Advisory Group
- d) The University Executive Board (UEB), through UHSEG, has established a **Joint Safety Advisory Committee (JSAC)** to undertake formal consultation on this policy and the health and safety arrangements, and to promote co-operation between the University and its employees in all matters concerning health, safety and wellbeing at work. Further detail on the formal consultation process is provided in *UHSP Appendix E*. The terms of reference for JSAC are provided in *UHSP Appendix I* and *UHSP Appendix U* provides further detail on the role of Trade Unions. JSAC meets the statutory obligations under the Safety Representatives and Safety Committees Regulations.



- e) Reporting health and safety from overseas campuses is through a combination of:
- i. Reporting operational issues to the relevant College or Professional Services Health and Safety Management Committee;
  - ii. Completion of an overall termly assurance report from the Director of Campus Operations (or equivalent) to the University Health and Safety Executive Group. See Figure 2- Reporting structure (below).

Figure 2 – Reporting Structure

**Reporting and feedback between University Health and Safety Committees and Groups**



## 2.4 Health and safety roles which support implementation

- a) Effective implementation of the policy will require assistance from the supporting roles that operate within a health and safety community of practice.
- b) Access to competent professional advice will be available from Human Resources Professional Services and from within the Colleges and Professional Services Departments. Other health and safety roles, including where health and safety is only part of a role within their College or Professional Services Department (for examples Health and Safety Co-ordinators, Safety Representatives, Fire Wardens, First Aiders, and other nominated support functions), will also be able to assist managers and others to implement the policy. *UHSP Appendix F Accessing competent health and safety advice* provides further detail on the supporting roles.
- c) Whilst there are some aspects of the health and safety arrangements that will be dependent upon health and safety professionals, other health and safety role holders, or external advisers, it is not expected that implementation of the policy is the sole responsibility of health and safety role-holders. The objective is that managers and others are both competent and confident in the actions to discharge their responsibilities and that the day-to-day implementation of the policy can be achieved with an appropriate level of dependence upon professional advisers or external help.
- d) The professionally qualified health and safety role holders within the community of practice typically operate as *Health and Safety Advisers*<sup>4</sup> who provide the following support:
  - i) Competent advice on all aspects of the health and safety arrangements.
  - ii) Specific advice on risks, risk assessments and risk controls.
  - iii) Health and safety training and other support to develop the capabilities of managers and other role holders.
  - iv) Support health and safety management committees and topic advisory groups.
  - v) Assist in accident investigations and reporting.
  - vi) Prepare assurance reports.
  - vii) Participate in workplace inspections and auditing.
  - viii) Contribute to the development of emergency planning and response.

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<sup>4</sup> Although other job titles are used for example *Health and Safety Manager*.



## 2.5 Duty holders

The responsibilities for leading and implementing this policy are distributed across a number of roles.

A summary of the responsibilities of each of the roles is provided in the following sections. Reference is made throughout to the **key management actions**. These actions are relevant to all duty holders (although the responsibility for the action will vary according to the role of each duty holder). The key management actions are presented in *UHSP Appendix B* and are also available as an easy-to-use checklist (*UHSP Appendix B supplement*).

There will also be further responsibilities placed on duty holders in various other policies and guidance that support implementation of the University Policy. These other policies and guidance are outlined in Part 3 – *Arrangements and policies that support implementation*, and listed in *UHSP Appendix A*.

## 2.6 Responsibilities of duty holders

### a) Council (as Governing Body)

Council has strategic oversight of all matters related to health and safety within the University and will seek assurances that effective arrangements are in place and working<sup>5</sup> by:

- i. Ensuring health and safety is a standard item on the agenda of Council meetings.
- ii. Ensuring that there is a process for auditing health and safety performance.
- iii. Receiving and reasonably evaluating assurances and data relevant to health and safety.
- iv. Reviewing the University health and safety risk profile on an annual basis.

### b) Vice-Chancellor

The Vice-Chancellor has overall accountability to Council for health and safety in the University and has a key role in fostering an environment in which health, safety, welfare and wellbeing are seen as essential and integral parts of the University's activities and culture.

- i. The Vice-Chancellor has appointed the University Health and Safety Executive Group (UHSEG) to advise him and the University Executive Board (UEB) to act on his behalf in matters relating to health and safety, including taking action where standards are not being met and the policy is not being implemented.
- ii. The Vice-Chancellor has appointed a Joint Safety Advisory Committee (JSAC) for the purposes of consulting with the Trade Unions on issues relating to this policy, to receive other feedback, and to promote co-operation between the University, its employees and students in all matters concerning health and safety.

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<sup>5</sup> From the UCEA guidance Leadership and management of health and safety in higher education institutions (2023)



c) Leadership and Executive Team (including University Executive Board, University Health and Safety Executive Group, and Heads of College)

The University Executive Board (UEB) is the leadership and executive team for the purposes of this policy and is accountable to the Vice-Chancellor regarding the effective implementation of this policy in all areas of University activity. The responsibility for identifying and addressing strategic priorities rests with the Provost, who is supported in this by the University Health and Safety Executive Group (UHSEG).

- i. The responsibility for implementation of the policy is delegated from UEB to members of University Leadership Group (which includes Heads of College, Directors of Professional Services Departments, and Heads of School).
- ii. UEB has a responsibility to develop and maintain a Strategic Emergency Response Plan (SERP) and Strategic Emergency Response Team (SERT) and to have in place arrangements to communicate with the relevant emergency services. In practice, these emergency arrangements are led by the Registrar and Secretary.

d) Heads of College and Directors of Professional Services Departments

Responsibility for the implementation of this policy rests with the **Heads of College (HOC) and Directors of Professional Services Departments (DOD)**, who have responsibility to lead, and manage the health and safety management system in their areas of responsibility. In practice, they are expected to delegate the work to senior managers in their College/Professional Services Department, but the HOC and DOD will remain accountable to the Vice-Chancellor and UEB for the effectiveness of the arrangements. Heads of College and Directors of Professional Services Departments are responsible for:

- i. Ensuring sufficient senior managers and line managers are identified for the purposes of implementing the policy in all areas within their management control and ensuring the **key management actions outlined in UHSP Appendix B** are implemented across the College or Professional Services Department.
- ii. Making formal appointments (in writing) for health and safety role holders as outlined in *UHSP Appendix F*.
- iii. Making arrangements to ensure the development and maintenance of an **Implementation Statement**, which outlines how they organise to implement this policy. See *UHSP Appendix C*.
- iv. Considering the health and safety implications of strategic decisions such as large projects or new partnerships.
- v. Ensuring that appropriate resources are allocated to adequately control and manage health and safety risks.
- vi. Setting up a **Health and Safety Management Committee** to co-ordinate implementation of policy across the College or Professional Services Department, which is chaired by a senior manager, and provides termly standard assurance reports to UHSEG.
- vii. Setting up arrangements to implement the policy in relation to overseas delivery, international travel and other overseas working, partnership working, and work in shared premises. (See sections 2.7 and 2.8 for further details).



- viii. Challenging unsafe behaviour and encouraging everyone to become involved in managing health and safety risk. Actively promoting a culture of positive engagement.
- ix. Participating, in significant workplace inspections, audits, or other exercises, or where this is not reasonably practicable to attend arrange for sufficient senior managers to participate in these audits or inspections.
- x. Setting health and safety objectives for senior managers and line managers through the process of PDRs and other processes.
- xi. Ensuring arrangements are in place to implement the University policy in relation to the design, manufacture, or installation of in-house equipment and apparatus. See section 2.6 (h) below.
- xii. Ensuring that they and all staff attend the training identified within the University's Health and Safety Training Matrix, see *UHSP Appendix D*, within the time periods stated.

e) Senior Managers (Heads of School, Heads of Professional Services and others)

Senior managers are accountable to the Leadership and Executive Team for implementation of the policy in all areas. Senior managers for the purposes of the policy include the members of ULG (excluding Heads of College and Directors of Professional Services Departments whose duties are outlined above), and other similar managers who can positively influence implementation of this policy. Information on which senior managers are responsible for which process or area should be recorded in a local College or Professional Services Departmental Implementation Statement.

Senior Managers will support the Head of College/Director of Professional Services in the discharge of their responsibilities for health and safety and in particular will:

- i. Ensure there are sufficient line managers and operational managers identified to implement the policy in their areas of responsibility. Also, to ensure that supervision of staff and students is appropriate in all areas.
- ii. Organise the work in accordance with the local Implementation Statement. This includes allocating responsibilities for health and safety across teams, projects, and during partnership working.
- iii. Make arrangements across their areas of responsibility for the purposes of implementing the key management actions as outlined in *UHSP Appendix B*.
- iv. Challenge unsafe behaviour and encourage everyone to become involved in managing health and safety risk and actively promote a positive culture around engagement with health and safety.
- v. Set health and safety objectives for line managers through the process of PDRs and other processes.
- vi. Ensure there is an established process for confirming that goods received (equipment, materials etc.) are checked for safety prior to use.
- vii. Identify resource commitments and ensure adequate resources are allocated to meet these commitments and where this is not possible, escalate any risks to the Health and Safety Management Committee and where necessary the Head of College/Director of Professional Service.
- viii. Ensure that they and all staff attend the training identified within the University's Health and Safety Training Matrix, see *UHSP Appendix D*, within the time periods stated.



f) Line Managers (academic and professional support staff, Principal Investigators)

Line managers (academic and professional support staff) are accountable to the relevant senior managers for the implementation of the policy in their areas of responsibility. Line managers may be responsible for an area, or a process including a research project, or a specific group of staff or students (or any combination of these). In practice this means line managers are required to be actively involved in implementing the key management actions that are relevant to them as outlined in *UHSP Appendix B*.

Importantly, **Principal Investigators (PI)** are expected to have similar responsibilities to line managers for the purposes of implementing the policy in relation to research projects and similar activity. Further information on organising research activity so it is compliant with the policy is found in *UHSP Appendix R*.

Line managers are responsible for:

- i. Organising the work so that the policy is implemented in their areas where they have management responsibility and to ensure health and safety needs are factored into all relevant planning.
- ii. Ensuring that all staff are informed of their roles and responsibilities included in the University's Health and Safety Policies and where and how to access them. This should be undertaken during local induction for new staff or via local communication methods (safety briefings, staff meetings, e-mails etc.) for existing staff following any changes and amendments to the documents.
- iii. Ensuring risks are assessed in advance of exposure to them, the assessments are recorded, the risk controls implemented, and that staff and students are provided with information on the significant findings of the risk assessments. This also includes completing individual risk assessments (e.g. pregnancy, DSE, PEEPS).
- iv. Ensuring staff and students work safely and receive the necessary information, instructions and training (including health and safety induction) in advance of being exposed to risks.
- v. Ensuring that sufficient competent supervisors are available to implement the policy and there are appropriate levels of supervision of students, staff and visitors for the purposes of health and safety.
- vi. Participating in health and safety training and ensuring the participation of supervisors and other staff. See *UHSP Appendix D* for further information. Making arrangements in their area for undergraduate students and others not expected to take part in staff training, to receive suitable health and safety training and briefings (including where appropriate annual toolbox talks).
- vii. Ensuring that temporary and agency staff, volunteers, students and people on work experience, are provided with relevant information to enable them to undertake their duties in a safe and competent manner.
- viii. Challenging unsafe behaviour and encouraging everyone to become involved in managing health and safety risk and actively promoting a positive culture around engagement with health and safety.
- ix. Leading on local workplace inspections and audits and implementing improvement actions where appropriate.



- x. Ensuring all accidents and incidents are reported to Health and Safety Services, in accordance with the Accident and Incident Reporting Policy and that these are investigated and appropriate action is taken to prevent or reduce the likelihood of re-occurrence.
- xi. Ensuring that health and safety issues, which cannot be resolved at local level, including constraints of time or resources, are referred to the designated Senior Manager/Management Committee as appropriate.
- xii. Developing procedures for managing non-compliance with health and safety policies/procedures within their department.
- xiii. Liaising with other employers where employees are based e.g. research parks, NHS establishments, to ensure that there is an awareness of each other's health and safety management systems including risk assessments, audits and investigations and that information is exchanged on risks associated with the work and the working environment and all health and safety related matters such as waste disposal and evacuation procedures are co-operated on.

#### g) Supervisory staff

Supervisory staff (including academic staff, leaders of research groups, other staff who supervise people or processes) are responsible for supervising relevant aspects of implementation of the policy in the areas they supervise. Information on which supervisory staff are responsible for which process or area should be recorded in the relevant Implementation Statement.

In practice this means Supervisory Staff are required to monitor and check that the key management actions as outlined in *UHSP Appendix B* are being implemented, that local rules are being followed, and that the findings of risk assessments are being applied to day-to-day working. Supervisory staff are responsible for the following:

- i. Supervising implementation of the policy in their designated areas where they have supervisory responsibility.
- ii. Ensuring risks are assessed in advance of any exposure to them and that staff and students are provided with information on the significant findings of the risk assessments.
- iii. Providing staff and students with information and instructions necessary for them to work safely, and where necessary to arrange for them to receive training. Where appropriate to provide toolbox talks on specific risks or processes. See *UHSP Appendix D*.
- iv. Participating in health and safety training and ensuring the participation of the people they supervise. See *UHSP Appendix D*.
- v. Where it is appropriate to do so, supervise the safety of contractors and visitors and provide them with relevant health and safety information. (see *UHSP Appendix J* for further details on control of contractors).
- vi. Raising any issues of non-compliance to the relevant line manager and being involved in local workplace inspections and providing feedback on health and safety issues.
- vii. Immediately reporting accidents, incidents, and near-misses, in accordance with the Accident and Incident Reporting Policy and contributing to accident investigations.
- viii. Challenging unsafe behaviour and encouraging everyone to become involved in managing health and safety risk and actively promote a positive culture around engagement with health and safety.



- ix. Being aware of the emergency arrangements, and supporting the line managers in emergency preparedness and response.

#### h) Designers, manufacturers and installers of (in-house) equipment used at work

There are specific duties that apply where in-house equipment or apparatus is designed, manufactured, or installed for *work* or *work-like* purposes (including as part of research). These duties are particularly relevant to prototype devices, where the University could in some circumstances be expected to take the same approach to safety as a commercial designer or manufacturer in ensuring the equipment is safe for use prior to it being provided for use by others (including by other staff or students within the University).

The Head of College is responsible for identifying senior managers who are responsible for ensuring the safety on in-house designed, manufactured, and installed equipment and apparatus. Details of nominated senior managers should be included in Implementation Statements.

The nominated senior manager for the area responsible for the development of the equipment or apparatus must ensure the following:

- i. That persons designing, manufacturing, and installing equipment are competent to do so.
- ii. That the equipment or apparatus is suitable (fit for purpose).
- iii. That sufficient testing has been carried out and safe limits and other relevant information is marked on the equipment and provided to users.
- iv. That the equipment is installed to appropriate standards (including in-situ testing and commissioning) and is maintained in a safe condition.
- v. That relevant checks are carried out on the equipment and apparatus prior to release.
- vi. To liaise with University Estates Department regarding including equipment on the inventory of items requiring statutory testing, or any other requirements.

Health and Safety Services and Estates can advise on these duties. See *UHSP Appendix M* for further information.

#### i) Staff (including Postgraduate Researchers)

Staff for the purposes of this policy include all persons working under a contract of employment (temporary or permanent), and Postgraduate Researchers.

- i. Everyone has a role in promoting a healthy and safe environment in all that the University does. Individual staff have a duty to conduct themselves and their work in a safe manner so as to not endanger themselves or others.
- ii. Staff should challenge unsafe behaviour and encourage everyone to be actively involved in managing health and safety. Staff should demonstrate attitudes and behaviours that support a positive culture around engagement with health and safety.
- iii. Staff are required to cooperate with the University regarding any provisions made to implement this policy (for example to attend training, to follow emergency instructions etc.). Failure to do so will be investigated and could result in disciplinary action.



- iv. Where staff have concerns over health and safety it should be brought to the attention of their supervisor, a relevant line manager, or the local Health and Safety Co-ordinator. Where concerns remain, issues can be brought to the attention of the local Health and Safety Adviser, Health and Safety Services or a Trade Union Appointed Safety Representative. Details of the relevant contacts are available on the [staff intranet](#).

#### j) Students (including Undergraduate and Postgraduate Taught)

Students for the purposes of this policy include all Undergraduates, Postgraduate Taught, and other persons studying at the University. Postgraduate Research (PGR) students are excluded from this provision because PGR are considered to be staff for the purposes of this policy (reflecting the types of activity they undertake and the responsibilities that work could involve).

- i. Individual students have a duty to conduct themselves in a safe manner so as to not endanger themselves or others. Students are required to cooperate with the University regarding any provisions made to implement this policy (for example to follow instructions, attend safety briefings, or follow emergency instructions etc.). Failure to do so will be investigated and could result in disciplinary action.
- ii. Students are encouraged to challenge unsafe behaviour and report any concerns they have to a relevant academic supervisor. Where concerns remain, issues can be brought to the attention of a local Health and Safety Adviser or the Guild of Students. Details of the relevant contacts are available [on-line](#).

#### k) Visitors to the University

Other duty holders listed above will have responsibilities to ensure the safety of visitors. Visitors also have a duty to co-operate with the University regarding any provisions required to implement this policy. (Note that there are additional provisions for contractors set out below and expanded in *UHSP Appendix J*).

- i. Visitors have a duty to conduct themselves in a safe manner so as not to endanger themselves and others around them. This includes following any verbal instructions and signage, taking any emergency action required and to report any accidents/incidents to their host or the College or Professional Services Department they are visiting.
- ii. Where visitors could be exposed to risks within the University, they will be provided with the significant findings of relevant risk assessments and the control measures needed to eliminate or reduce the risks, which they will be expected to follow.
- iii. Any visitor that has concerns about health and safety at the University, should bring it to the attention of their host or the College or Professional Services Department they are visiting.

#### l) Contractors

Contractors are a class of visitor for whom there is a requirement for a more considered approach to ensure health and safety. The policy differentiates between three different classes of contractor according to the levels of risk presented or encountered by their work. Further details on the actions to be taken in relation to each class of contractor is provided in *UHSP Appendix J*.



m) The role of Human Resources (Health & Safety Services, Occupational Health and others) in supporting implementation of the policy

Human Resources has a particularly significant role within the community of practice in providing competent professional advice and other services across the University, and also facilitating the communication of good practice across the community. The Human Resources role includes the following:

- i. Supporting and advising the University Health and Safety Executive Group (UHSEG) in the development of the overall health and safety strategy, including the development of the health and safety policy and operational health and safety matters.
- ii. Preparing the Annual Health and Safety Assurance Report to Council and UEB and Termly Assurance Reports to UEB via UHSEG.
- iii. Facilitating the community of practice as outlined in *UHSP Appendix F*.
- iv. Leading the accident reporting process, including making all reports to the Health and Safety Executive (HSE) under RIDDOR and leading all significant accident<sup>6</sup> and incident investigations.
- v. Advising on and providing health and safety training in support of the arrangements outlined in *UHSP Appendix D*.
- vi. Facilitating the network of Advisory Groups as outlined in *UHSP Appendix I* and 2.3c above.
- vii. Assisting in the management of health and safety by participating in an advisory capacity in risk assessment and the development of risk control strategies.
- viii. Liaising with enforcing authorities, such as, the Health and Safety Executive (HSE), Fire and Emergency Services, the Environment Agency (for Radiation matters only) and any other relevant bodies, on health and safety issues.
- ix. Providing Occupational Health (OH) services in support of the arrangements outlined in *UHSP Appendix O*. This includes providing advice on occupational health and wellbeing, providing health surveillance and providing immunisation.
- x. Developing communication and information sources to raise staff awareness of University issues relating to health and safety including significant risks through the development of intranet pages, safety bulletins, awareness campaigns and information leaflets.
- xi. Participating in monitoring and audit with regards to health and safety management.

n) Director of Estates (building and premises, shared areas, tenancy agreements)

The Heads of Colleges and Directors of Professional Services Departments are responsible for the health and safety impacts from activities within buildings and from College or Professional Services Departmental equipment, apparatus and any materials and substances used. They are also responsible for parts of buildings and use of shared areas that they influence or control and must co-operate with the Director of Estates regarding any actions which impact on health or safety.

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<sup>6</sup> Definition of 'significant accident' can be found in the introduction of the University accident policy [[Action, Investigation and Reporting in the Event of an Accident, Incident, Near Miss or Ill Health Policy](#)]



The Director of Estates is responsible for the physical safety and safe maintenance of the buildings<sup>7</sup> and the shared areas (not allocated to Colleges or Professional Services Departments) and has the following responsibilities under this policy:

- i. To ensure the structural safety and integrity of the buildings and shared areas (including the roads, car parks, and pedestrian areas) and safety provision within buildings to include active and passive fire safety systems.
- ii. To ensure the maintenance of shared areas. Some of these are managed in partnership with the Director of Campus Services, HOC, and DOD.
- iii. To prevent unauthorised access to plant rooms, roofs and other areas where Estates apparatus or materials will be present.
- iv. To ensure the safety of contractors engaged in estates maintenance, and to protect students, staff, and other visitors from the risks presented by contractors working in shared areas. See *UHSP Appendix J* for further details on controlling contractors.
- v. To set up a process with Health and Safety Services for the provision of services to ensure health and safety advice is made available to Project Managers and others involved in new buildings and other significant estate developments.
- vi. To ensure compliance with the legal obligations relating to water system hygiene (for example controlling legionella).
- vii. To manage the processes necessary to control exposure to asbestos and asbestos containing materials across the University.
- viii. To act as the main “duty holder” and policy owner regarding the Electricity at Work Regulations (and other relevant statutory duties) in relation to Estates operations. **Colleges and Professional Services Departments that work with electricity (particularly allowing access to or near live conductors) must make their own arrangements to meet and comply with the duty holder requirements under the Electricity at Work Regulations and any other relevant statutory duty.**
- ix. To undertake or arrange statutory testing (inspection and examination) upon request on behalf of Colleges and Professional Services Departments. Testing is expected to include pressure systems, local exhaust ventilation (LEV), lifting equipment, and any other items requiring statutory testing (other than portable electrical items which remain the responsibility of Senior Managers in Colleges and Professional Services Departments).
- x. To undertake any necessary work in relation to the structural safety and integrity of the buildings, or otherwise support the University in implementing this policy in third party premises, or where there is a tenancy agreement in accordance with SLA/lease details.
- xi. Further details on services and support provided by Estates to assist in the implementation of this policy are found on the [Estates intranet pages](#).

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<sup>7</sup> The exception being student accommodation and other buildings under the management control of Campus Services. In these circumstances, the Director of Campus Services will have the same responsibilities for those buildings as outlined above (where these duties would contribute to the safety of staff, students, or visitors).



## 2.7 Application of this policy to overseas and international activity

- a) This health and safety policy applies to all work undertaken by the University at any locations outside of the United Kingdom. In keeping the legal interpretation of duties on UK employers to employees and others working outside the UK, the provisions within the policy are expected to apply to overseas activities so far as is reasonably practicable<sup>8</sup>. The application of the policy will be proportionate to the risks, and in the cases of low risk international travel or low risk work there will be no requirements to take additional action to implement the policy. International travel for research in regions where the health and safety risk are likely to be increased is subject to additional approvals and controls.
- b) In practice, this requires Colleges and Professional Services Departments to assess the impacts of international travel and work and where appropriate to extend their health and safety organisation and arrangements so they apply to the work outside the UK. There are likely to be limitations on the extent to which UK levels of implementation and compliance can be achieved, but the University is legally and morally required to take all reasonable steps to ensure the health and safety of its students and staff wherever they work globally. Further information in relation to these and guidance on travelling and working abroad is available on [the intranet](#).

## 2.8 Application of this policy to partnership working, shared premises, and tenancy agreements

- a) This health and safety policy applies, so far as it is reasonably practicable, to all work undertaken in partnership working, at shared premises, and with regard to any tenancy agreements. Service level agreements (SLA) and lease details should also be referred to for details of any third party obligations.
- b) In practice, it will be necessary to establish agreements and to co-operate and co-ordinate the health and safety arrangements with partners, other employers, and tenants. The formality of those agreements will be dependent upon the nature of the partner working and the significance of the health and safety risks. University Legal Services can advise on how to ensure health and safety considerations are properly accommodated into partnerships, shared premises working, or tenancy agreements.
- c) The agreements for partnership working will require the following health and safety provisions or arrangements:
  - i. Identification and distribution of responsibilities, bearing in mind that all UK-based parties are likely to have similar legal obligations under the Health and Safety at Work Act and other relevant statutory provisions.

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<sup>8</sup> A requirement from the HSW Act, to carry out a duty '*so far as is reasonably practicable*' means that the degree of risk in a particular environment or activity can be balanced against the time, trouble, cost and physical difficulty of taking measures to avoid the risk. (UCEA 2023)



- ii. Heads of College, in co-ordination with Project or Programme Boards, should nominate suitable senior managers to develop specific Implementation Statements for all significant partnership working, work at shared premises, or tenancy agreement.
- d) The following measures are required to implement the policy for partnership working, shared premises, and tenancy agreements.
- i. Relevant senior managers (nominated by the Head of College or Director of Professional Services Department) should develop risk assessments and mitigation plans, and make arrangements to communicate the significant findings of all risk assessments (all partners) to all parties.
  - ii. All significant health and safety processes, including the emergency procedures, should be fully documented and communicated to all parties.
  - iii. Arrangements must be in place to monitor and review the effectiveness of the arrangements (including accident data), and to provide periodic assurance reports to UHSEG via the College or Professional Services Department Health and Safety Management Committee.
  - iv. Arrangements must be agreed for the purposes of carrying out workplace inspections (including a process to remedy any improvement needs identified by the inspections), and to carry out periodic audits of the health and safety arrangements.
  - v. Service Level Agreement or lease details should be available to view any third party obligations. The University Estates Department can advise on this.
- f) Human Resources can advise on health and safety issues relating to implementation of this policy with regard to partnership working, shared premises, and tenancy agreements, with advice from Legal Services as appropriate.
- g) University Estates Department can advise on estates maintenance and other relevant issues in relation to partnership working, shared premises, or tenancy agreements.

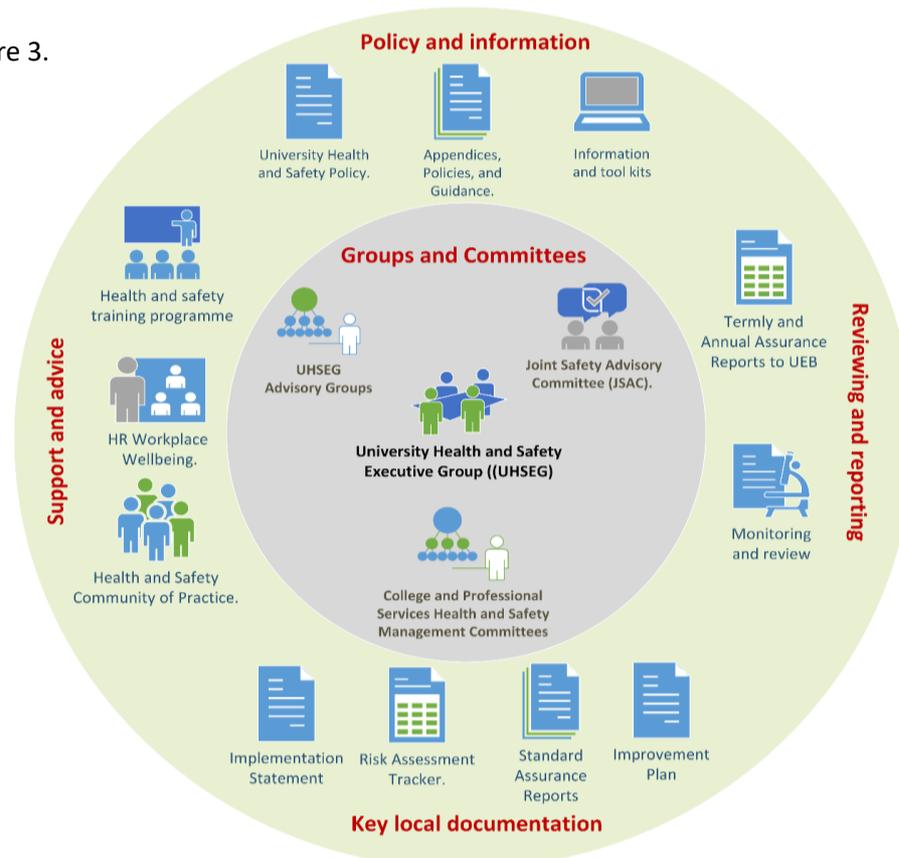


## Part 3 Arrangements and policies that support implementation

### 3.1 Supporting Arrangements

3.1.1 The University Health and Safety Policy is supported by a number of [appendices](#), [policies](#) and [guidance](#), each dedicated to a specific aspect of the arrangements. An infographic is available to show the relationship between the key documents, see figure 3 below.

Figure 3.



3.1.2 Brief summaries of key arrangements are presented as appendices to this policy (see Table 1 in 3.3 below). These link to further detailed guidance and useful toolkits such as checklists, which are hosted on the staff intranet.

3.1.3 [UHSP Appendix A](#) lists the current formally adopted University Health and Safety Policy and guidance.

### 3.2 Competence and training

Successful implementation of this policy is dependent upon everyone being sufficiently competent regarding health and safety in relation to the risks they encounter, and their role and responsibilities. A definition of competence, and further detail of the *Competence Framework*, health and safety training provision, and processes to identify health and safety training needs are outlined in [UHSP Appendix D](#).



### 3.3 Health and Safety Policy Appendices

Table 1 (below) lists the [appendices](#) that outline further detail on how to implement the University Health and Safety Policy.

A	Policies and Guidance supporting implementation
B	Key management actions
C	Guidance on developing a College or Professional Services Departmental Implementation Statement
D	Guidance on competence and training
E	Three-step consultation process
F	Accessing competent health and safety advice
G	Risk Assessment and Risk Assessment Tracker
H	Monitoring and reviewing the health and safety arrangements
I	Terms of reference for groups and committees
J	Controlling contractors
K	Standard assurance reporting
M	Work equipment, dangerous machinery, and research apparatus
O	Occupational Health and Wellbeing
R	Research safety
U	Role of the Trade Unions
W	Work experience, apprenticeships, and volunteers

