Health and Safety Policy

Operational Owner: Clive Parkinson, Director of Health and Safety

Executive Owner: Paul Stephenson, VP HR

Effective date: July 2018

Review date: July 2021

Related documents: All Health and Safety related policies – listed in Appendix 1 (list current as at June 2018)
And other supporting documents – including Health and Safety Values, SPELLcheck and Strategy – listed in Appendix 2 - 4

Approval History

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<th>Version</th>
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<td>1</td>
<td>Clive Parkinson and Health and Safety Committee</td>
<td>First Draft (new format)</td>
<td>Executive Board</td>
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<td>Second Draft (updated management structure)</td>
<td>Executive Board</td>
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<td>2.4</td>
<td>Clive Parkinson and Health and Safety Committee</td>
<td>(Minor Update: Commitment Statement signed by new Vice Chancellor: No further change or approval required)</td>
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<td>Third Draft (updated management structure )</td>
<td>Executive Board</td>
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<td>Introduction</td>
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<tr>
<td>1</td>
<td>Purpose</td>
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<td>1.1</td>
<td>The purpose of this Health and Safety Policy is to enable the University to operate effectively and allow its staff, students and visitors to undertake their activities without detriment to their health, safety and wellbeing.</td>
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<td>1.2</td>
<td>Scope</td>
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<td>1.2.1</td>
<td>This policy applies to all staff, students, contractors and visitors.</td>
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<td>1.3</td>
<td>Definitions</td>
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<td>1.3.1</td>
<td><strong>Occupational Health and Safety</strong> can be defined as “the regulations, procedures and actions designed to prevent and protect persons from accident or injury or ill health in the workplace.”</td>
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<td>1.3.2</td>
<td><strong>Competence, Training and Briefing</strong></td>
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<td>Competence is based upon training and is used to equip students (and others where the University has a duty-of-care) with relevant skills and knowledge to deal appropriately with a given health and safety situation.</td>
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<td>1.3.2</td>
<td><strong>Accessibility</strong></td>
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<td>The duty to make reasonable adjustments, as far as possible, to ensure that all staff and students (and others where the University has a duty-of-care) with a disability have equal access to everything they need to do a job or studies as those persons without a disability.</td>
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<td>Principles</td>
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<td>2.1.1</td>
<td><strong>Commitment Statement</strong></td>
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<td>The health and safety of staff, students and visitors is of paramount importance to the University. Our Health and Safety Policy enables the University to operate effectively and allow its staff, students and visitors to undertake their activities without detriment to their health, safety and wellbeing.</td>
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<td>We embrace the ‘Towards Zero Harm’ programme as it recognises that our goal is to ensure that our activities do not result in harm, injury or ill health to staff, contractors or others.</td>
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<td>‘Towards Zero Harm’ is a goal that we can and must achieve so our performance matches leading organisations that have successfully risen to this challenge.</td>
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<td>This is about leadership and management establishing a culture that focuses on safe working practices and behaviours encouraging everyone to deliver the health and safety performance to match a leading organisation. This is encapsulated in our values (See Appendix 1) and evidenced by the SPELLcheck framework.(see Appendix 2)</td>
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Failings in health and safety can result in harm to individuals and can impact on the University’s ability to conduct its business and its reputation. That is why in the University’s Health and Safety Policy we have set out our commitment to good practice, our responsibilities for health and safety, and the standards that we, the Executive and the University, are determined shall be met. The University has fully adopted the UCEA Leadership and management of health and safety in higher education institutions (http://www.ucea.ac.uk/en/publications/index.cfm/thandsw) as the standard to which all staff and students are expected to meet.

Our Vision is to allow the University to operate effectively and allow our staff, students and visitors to undertake their activities without detriment to health, safety and wellbeing. This vision is supported by the following ambitions:
- to have a strong health and safety culture and matching management systems
- to attain and maintain a leading health and safety performance within the sector
- to work towards the attainment of zero harm for both work related injuries and ill-health
- to continue to improve our level of performance over time in everything we do.

We can encourage all those we work with to be more mindful of health and safety in everything we do. Together we can work ‘Towards Zero Harm’

Professor G Q Max Lu  
Vice-Chancellor & President

Michael Queen  
Chair of Council

### 2.1.2 Policy Statement

The University is committed to excellence in health and safety performance and to meeting its responsibilities for the health, safety and wellbeing of its staff and students, as well as others, including visitors, who may be affected by University activities.

This can only be achieved through the application of good practice in health and safety and positive actions by its managers and staff.

The University is committed to achieving effective control of risk by working to the health and safety management performance standards contained within this policy. These relate to:

- leadership, resource allocation, and consideration of health and safety implications arising from business decisions
- effective risk control measures and systems
- competence of those involved in making decisions on health and safety
- continuous and planned improvement
- taking corrective and preventative action based on monitoring, auditing and investigating activities
- clear definition of arrangements
- encouraging ownership through communication and consultation

This policy applies to every aspect of the University’s business, including all educational, research, commercial, residential accommodation, recreational and management activities. It applies to University owned companies. Further to this the University recognises its relationship with the Students’ Union and will encourage the Union to adopt this policy where applicable.
## 2.2 Roles and Responsibilities

### 2.2.1 Council

Ultimate responsibility for health and safety within the University rests with the University’s governing body, the University Council. Council set and monitor progress against the University’s Health and Safety Strategy (see Appendix 3).

Council appoint an independent Chair of the Health and Safety Committee who has accountability for seeking assurance on health and safety performance on behalf of Council.

Council receive reports on health and safety performance at each meeting and an Annual Report from the University’s Health and Safety Committee.

### 2.2.2 Vice- Chancellor

The Vice-Chancellor is accountable to Council for health and safety performance and has executive authority for setting policy for the management of health and safety.

The Vice-Chancellor has delegated authority for the day-to-day management of the University’s Health and Safety function to the Vice-President Human Resources.

The Vice-Chancellor chairs the Executive Board and is a member of Council.

### 2.2.3 Vice President Human Resources

The Vice-President Human Resources is advised by the Director of Health and Safety and by the Health and Safety Committee.

The Vice-President Human Resources has authority to approve Health and Safety Standards and changes to the University’s Health and Safety Management System.

The Vice-President Human Resources meets the Director of Health and Safety on a regular basis. The Vice President Human Resources is a member of the Executive Board and also a member of Council.

### 2.2.4 Executive Board

The activities and operation of the University are directed and controlled through the Executive Board and its line management structures. The Executive Board is the forum where changes in policy, including health and safety policy, are approved. The Executive Board aim to identify and resolve health and safety implications arising from strategic and operational decisions made by the Board. The Executive Board have health and safety as a standing agenda item at each of their Board meetings. The Executive Board receive regular reports on health and safety performance and an Annual Report from the University Health and Safety Committee.

### 2.2.5 Health and Safety Committee

The Health and Safety Committee is chaired by an independent person appointed by Council and is supported by the Director of Health and Safety. The Committee also advises the Vice President Human Resources.
The Committee monitors the health and safety performance of the University, reviews incidents and provides a forum for obtaining input from management and health and safety professionals on the development and direction of health and safety at the University.

The Chair of the Committee will seek assurance from Executive Board members that health and safety is managed appropriately through the Annual Health and Safety Assurance Statement and through an annual meeting with those Executive Board members with high health and safety risks.

### 2.2.6 Wellbeing Strategy Group

The Wellbeing Strategy Group is a formal body of the Health and Safety Committee and is chaired by the Vice-Provost Education. The Wellbeing Strategy Group formulates strategy on wellbeing and reports progress to the Health and Safety Committee.

### 2.2.7 Consultation and the Health and Safety Consultative Committee

The University consults with and involves staff and student representatives on health and safety issues. It achieves this formally through the Health and Safety Consultative Committee. The Health and Safety Consultative Committee is a sub-committee reporting to the Health and Safety Committee and is chaired by the Director of Health and Safety.

The University recognises health and safety representatives appointed by UCU, UNITE and UNISON. It encourages the Students’ Union to represent the student body on health and safety issues. In addition the University retains the right to consult with staff or students as appropriate on relevant issues related to health and safety performance.

All Faculties, Schools and Directorates must have their own Health and Safety arrangements which provide opportunities for staff and managers to work together on improving health and safety within their respective areas.

### 2.2.8 Executive Board

Executive Board members are accountable for ensuring that there are arrangements within their own areas of responsibility for achieving University policy and standards on health and safety. They must:

- provide leadership on establishing an effective health and safety culture
- ensure that they provide adequate resources to address health and safety issues in a timely manner
- complete and return the Annual Health and Safety Assurance Report and attend an annual meeting with the Chair of Health and Safety Committee if requested.

- establish a body to monitor and review the following:
  - setting and reviewing health and safety performance and objectives
  - effective means of consulting with the workforce
  - health and safety risk register and the appropriateness of control measures
  - that appointments are made for all professional and key health and safety roles (in collaboration with the Director of Health and Safety)
2.2.9 **Director of Health and Safety**

The Director of Health and Safety is accountable to the President and Vice-Chancellor for ensuring that the University has appropriate professional advice on health and safety issues. The Director of Health and Safety has authority from the Vice-Chancellor to stop activities that put people at imminent risk of harm. The Director of Health and Safety reports to the Vice President Human Resources.

The Director of Health and Safety undertakes the following:

- develops the Health and Safety Policy and Standards
- defines core knowledge and skills (competence) for key groups of staff, students, contractors, and academic visitors
- maintains a resource of information and guidance on the University’s Health and Safety website
- administers the incident reporting system and reviews incident data to identify incident trends and any lessons that can be learned
- takes responsibility for investigating significant incidents and for RIDDOR reporting on behalf of the University
- is the custodian of the University Health and Safety Risk Register and associated Risk Management processes.
- supports the University Health and Safety Committee and monitors Health and Safety Key Performance Indicators and provides an Annual Report to the Health and Safety Committee
- supports the professional development of staff with accountability for providing advice on health and safety within their Faculty/Directorate.
- establishes networks and forums for exchange of good practice and liaises closely with Occupational Health, The Wellbeing Centre, Human Resources and other professionals
- supports the University Research goals by providing a regulatory affairs service for specialist licenses and permits that are allied to Health and Safety Legislation
- supports the University research and teaching by providing a hazardous waste service
2.2.10 **Heads of Schools/Directorates/Departments***

Heads of Schools/Directorates/Departments* and other persons with management roles are accountable for the management of health and safety within their areas. They must be aware of health and safety issues within their areas of responsibility and the necessary risk control measures and ensure that these measures are effectively implemented. They must establish a body to monitor and review the following:

- setting and reviewing health and safety performance and objectives
- effective means of consulting with the workforce
- health and safety risk register and the appropriateness of control measures
- that appointments are made for all professional and key health and safety roles (in collaboration with the Director of Health and Safety)
- setting and monitoring competency standards (this includes both staff and students)
- health and safety arrangements and information systems

*The University does not have a universal definition of what a School/Department is and it may not always be appropriate for Departments to set up a body as described above. This should be set out in the Faculty/Directorate Health and Safety Arrangements.

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2.2.11 **Supervisors**

Staff in a supervisory position, including faculty members responsible for students, are accountable for the health and safety of the people, activities, and projects that they supervise. They must be aware of the health and safety issues and control measures relevant to their activities and projects. They must comply with the University’s Health and Safety Policy and any other relevant arrangements within their area or activity.

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2.2.12 **Staff, Students, Visitors and Contractors**

Every individual member of staff, student, visitor or contractor has a responsibility to take care of their own health and safety, take due consideration for the health and safety of others, and not interfere with or misuse facilities that are there in the interests of health and safety. Each individual must comply with the University’s policies and standards, and the relevant arrangements for the area or activity.

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2.2.13 **Contractors**

The University expects its contractors to adhere to the University Health and Safety Policy but also to adopt its health and safety values. Contractors must also demonstrate that they have effective arrangements for the following:

- setting and reviewing health and safety performance and objectives
- effective means for consulting with the workforce and reporting of incidents
- appropriate risk assessment and effective control measures
- setting and monitoring competency standards
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| 2.2.14  | **Other Persons**  
Other persons who could also be affected by the University’s activities will, where necessary, be consulted with and provided with appropriate information. |
| 2.2.15  | **University Owned Companies**  
The Chief Executive Officer of each University owned company is responsible for the health and safety associated with the business of the company and for achieving the University’s Health and Safety Policy and Standards. These arrangements are monitored by the University Health and Safety Committee. |
| 2.2.16  | **Student Union**  
The University of Surrey Student Union (Union Club and all Student Union owned companies) is responsible for its own Health and Safety Policy and supporting arrangements. These general arrangements are monitored by the University Health and Safety Committee. |
| 2.2.17  | **Research Park**  
The Research Park is managed by the Director of the Research Park who reports to the Vice-President Innovation and Growth. These arrangements are monitored by the University Health and Safety Committee. |
| 2.2.18  | **Estate’s Committee**  
The Estate’s Committee is responsible for the development and implementation of the Estate’s Strategy and considers matters of health and safety that impact upon this strategy. |
| 2.2.19  | **University Sustainability Group**  
The University Sustainability Group is responsible for environmental strategy and considers health and safety issues that impact upon this strategy. |
| 2.2.20  | **Transport Safety Group**  
The Transport Safety Group review transport related incidents and bring forward suggestions for infrastructure improvements for the benefit of pedestrians, cyclists and vehicle users accessing the campus facilities. |
| 2.2.21  | **Occupational Health Provision**  
The University has a service level agreement, via the Vice-President Human Resources, with the Robens Centre for Occupational Health and Safety for occupational health provision to the University. The service covers all directly employed members of staff and selected postgraduate students who have specific risk exposure. University subsidiary companies have to arrange their own separate occupational health provision. |
2.2.22 **Student Health and Safety**

The Executive Board is accountable for student health and safety. Services in support of student health and wellbeing are overseen by the Vice-Provost Education.

The Student Support Services Department provides a range of services for students including: the Student Services Centre (practical, administrative, financial and general information, advice and guidance); the Student Health Centre (providing a full service standard NHS general practitioner surgery) the Centre for Wellbeing (providing counselling and psychotherapy, general health and mental health information and advice, and enhanced coordination of support for the most vulnerable students); the Chaplaincy (providing religious, spiritual and pastoral support); and Wardens and Mentors (providing pastoral, welfare, disciplinary and social support in the residencies).

The Lead Nurse Adviser (the lead nurse in the Health section of the Centre for Wellbeing) also advises the University on issues relating to Public Health.

Training and written guidance on health, safety, fire safety, welfare and security is made available to all new students. This training covers the range of common hazards that students are likely to come across at the University including fire safety, electrical safety and use of computers. Students in University residences receive additional information specific to issues associated with accommodation including fire safety and self-catering.

The University includes a Professional Training element in most of its undergraduate courses. This process and its funding are co-ordinated by the Professional Training Committee which reports to Senate.

The Equality and Diversity Committee addresses issues of disability within the Equality and Diversity Action Plan and Impact Indicators. The Action Plan sets out its approach to promoting disability equality for staff, students, and visitors. University policies relating to staff and disabilities are held on the University Policy Website. Each Faculty has a Faculty Disabilities Representative and departments have a tutor responsible for liaison with Additional Learning Support (ALS).

Student applicants are encouraged to disclose to the Department Admissions Tutor or Additional Learning Support, in advance of their application, if they require adaptations or personal care to support their study. Students who develop disabilities after admission are encouraged to inform their lecturers / tutors of any aspect likely to affect their studies or health and safety at the University. Issues can then be referred to Additional Learning Support who will assess the student’s needs and report back to their Faculty Disabilities Representative. Where appropriate a Learning Support Adjustment (LSA) will be developed and implemented for the student.

The University has guidelines concerning children, young persons and vulnerable adults. These guidelines cover students who are under 18 years of age and children of staff, students, or visitors where the children are involved in University activities or on University property.

In addition to fire and health and safety regulations, University residences are operated to the Universities UK Code of Practice for Student Accommodation, while those managed by other organisations must meet the requirements of the Accreditation Network UK (ANUK) code of practice. Where University residences are managed by other organisations, the other organisation is accountable to the University for health, safety and welfare.
### 2.2.23 Security on Campus

The University has its own in-house Security Department which is part of Estates and Facilities Management. Their core role is to provide a safe and secure environment in which the University’s business can operate efficiently. Professionally trained, uniformed security staff are available throughout the twenty-four hour period to provide a security service and to act as First Responders to any emergency incident.

The Director of Security will provide or arrange for specialist advice in relation to CCTV, crime prevention matters and strategic security issues, as well as VIP and royal visits to the University.

### 2.2.24 Insurance

The University holds a range of insurances, including employers and public liability, professional negligence, personal accident and overseas travel, as well as insurance for its buildings and assets. Its insurers are also responsible for statutory inspections of its plant. The University insurers have an interest in how the University manages health and safety risks. They carry out periodic surveys of the campus and may issue recommendations for improvements, both in terms of the physical construction of the premises and how they are operated, and the activities undertaken at the University.

Insurers will expect that the circumstances surrounding accidents and incidents are investigated by the University as soon as possible after the event and that the investigation findings, and any other relevant information, is made available to them should a claim for compensation be brought against the University. Contact with the University’s insurers is via the University’s Insurance Officer.

### 3 Governance Requirements

#### 3.1 Implementation / Communication Plan

| 3.1.1 | The policy is communicated to all staff as part of the University Policy website – and through induction training. Relevant information is also published on the University Health and Safety intranet site and Health and Safety Handbook. Also refer to Appendix 2 Health and Safety Golden values (poster campaign) Appendix 3 SPELCheck Safety Programme (operating alongside Appraisal) Appendix 4 Health and Safety Strategy 2017-2022 Appendix 5 Stakeholder Analysis and Communication Plan |

#### 3.2 Exceptions to this Policy

| 3.2.1 | There are no exceptions |

#### 3.3 Review and Change Requests

| 3.3.1 | This Policy is regularly reviewed by the Director of Health and Safety. Minor changes will be reviewed and agreed through Health and Safety Committee; Major changes will be reviewed through Health and Safety Committee and submitted to Executive Board for approval. Review will generally be every three years or in line with any relevant changes to Legislation (if sooner) |
### 3.5 Legislative context

#### 3.5.1 This Policy complies with the requirements of the Health and Safety at Work Act 1974 (and other associated legislation).

This policy sets out to comply with the required ‘duty of care’ placed upon the University. Under Health and Safety Law a ‘duty of care’ is generated between organisations and individuals when carrying out activities that could foreseeably cause harm.

The primary duty of care is owed through the employer-employee relationship in which the employer owes a duty of care to ensure that work activities that could result in harm to the employee are assessed and controlled. That duty of care is put into practice by the line management responsibilities as set out in the hierarchy of the organisation.

This duty of care cannot be delegated away; instead the act of delegation must be accompanied by a realistic and workable system of monitoring or supervision to ensure that the delegated task has been adequately implemented (i.e. the responsibility is not met by giving directions; it is met when those directions have been confirmed as carried out). The result is a cascade of delegated accountability that runs through the organisation via the line management network, accompanied by a system of monitoring, supervision and feedback.

The duty of care extends to assurance that services provided by others (be they another department of the University or contractors) are undertaken safely. The level of assurance required should be commensurate with the risk of the activity.

In addition, anyone carrying out an activity owes a duty of care to anyone who may be put at risk by the activity, such as students, staff and visitors.

### 3.6 Stakeholder Statements

#### 3.6.1 Equality: Consideration is given to the protected characteristics of all people groups identified in the Equality Act 2010. The protected characteristics are gender, age, race, disability, sexual orientation, religion/belief, pregnancy and maternity, and marriage/civil partnership.

The University recognises the need for specific measures to ensure the health and safety of each of these groups. This policy and all other associated Health and Safety related policies take this into account.

#### 3.6.2 Health & Safety: This Policy is the overarching statement on health and safety for the University.

#### 3.6.3 Executive Board, Health and Safety Committee, and Health and Safety Consultative Committee

Roles and Responsibilities are referenced above (items 2.2.4, 2.2.5 and 2.2.7 respectively) and noted in Appendix 5
Appendix 1 – Health and Safety Policies (June 2018)
Available on via https://www.surrey.ac.uk/about/our-policies

Strategic Policies

Health & Safety Policy

Driving at Work Policy

Fire Safety Policy

Hazardous Substances Policy

Hazardous Working Policy

Management of Health and Safety for Work and Services Contractors Policy

Management of Work Related Stress Policy

Operational Policies

Asbestos Policy

BioSafety & Bio Security Policy

Controlled Drug Policy

Display Screen Equipment (DSE) Policy

Electrical Safety Policy

Food Safety Policy

Ionising Radiation Safety Policy (as required)
Legionella

LOLER Policy (Lifting)

Piped Compressed Gas

Smoking Policy

Unmanned Aerial Systems
Health and Safety Golden Values

It is important that all members of staff strive to embed the Health and Safety Golden Values in their work in order to achieve the highest standards of health and safety across the institution.

**INCLUSIVE**
We believe that everyone has the right to have their voice heard on health and safety matters which affect them.

**UNCOMPROMISING**
We do not compromise or sacrifice the appropriate levels of protection for the sake of other work priorities.

**AVOIDING HARM**
We do not put ourselves or someone else at risk of harm or injury.

**FAIR**
We avoid a blame culture and are tolerant of genuine errors, but we will hold people to account where it is fair to do so.

**INTOLERANCE OF POOR PRACTICE**
We do not accept inadequately controlled risks or decisions, attitudes and behaviours which undermine good health and safety.

For more information, go to surrey.ac.uk/goldenvalues
Appendix 3 – SPELLcheck for Safety

WHAT IS SPELLcheck for Safety?
At the University of Surrey, we believe that everyone has the right to go home safe and well so their families at the end of the day. We have processes and procedures in place to minimise the risks but it’s up to everyone to take responsibility and get personally involved in their own safety and the safety of others.

SPELLcheck is a set of behaviours that we can all commit to so help us stay safe. It’s important to take the time to examine your own individual behaviours and attitudes and think about how you can make a personal contribution to a safe workplace.

Good safety leadership
Generating a positive health and safety culture is a challenge that requires enthusiasm, commitment and positive thinking. As a senior manager, it is vital that you lead by example and demonstrate that you care about the health and safety of everyone.

For more information, go to
surrey.ac.uk/spellcheck
Appendix 4 – Health and Safety Strategy 2017-2022

Introduction

This strategy supports the University aims and objectives and articulates the University of Surrey’s vision for a safe and healthy environment for all staff and students. The strategy has been developed in consultation with a wide range of stakeholders and is supported by the University Wellbeing strategy which deals with many of the health issues. The Health and Safety Strategy is based on the following overarching principles of sensible health and safety as set out below:

➤ ensuring that colleagues, contractors, students and the public are properly protected
➤ balancing benefits and risks, with a focus on reducing occupational risks
➤ ensuring risks are managed responsibly and acknowledging that failure to do this can have serious consequences
➤ enabling individuals to understand that as well as the right to protection, they also have a responsibility for themselves and their colleagues
➤ enabling innovation and learning by supporting with safe procedures and protocols

Strategy Aims:

The strategy is adaptive in that it allows sufficient flexibility to incorporate new initiatives which may arise over the course of the period. Annual action plans and Key Performance Indicators (KPI’s) will be developed to provide further information on specific activities/projects that will be undertaken during the course of a particular year. These action plans and KPI’s will be approved and monitored by the University Health and Safety Committee.

Vision: The aim of the strategy is to allow the University to operate effectively and allow our staff, students and visitors to undertake their activities without detriment to their health, safety and wellbeing. This vision is supported by the following ambitions:

➤ to have a strong health and safety culture and matching management systems
➤ to attain and maintain a leading health and safety performance within the sector
➤ to work towards the attainment of zero harm for both work related injuries and ill-health
➤ to continue to improve our level of performance over time in everything we do

Health and Safety Culture and Management:

An organisational culture can be defined as a collection of shared attitudes, beliefs and ways of behaving. Those organisations with good health and safety cultures embed good health and safety in all they do. There is a shared understanding of the risks and a positive attitude to managing health and safety. This influences the way in which an organisation undertakes all its activities.

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

➤ visible commitment by senior management
➤ transparent methods of informing and consulting with the workforce
➤ recognition of the fact that everyone has a role to play
➤ co-operation between employees
➤ open two-way communications
➤ high quality of training
➤ Considering safety as part of our undertakings

An effective Health and Safety Management system relies on strong working relationships with a range of disciplines across the organisation, as represented in this diagram.

A strong health and safety management system includes the following:
- linking health and safety to the institution’s strategic corporate objectives
- an understanding of the health and safety risk profile of the institution
- clearly defined responsibilities and accountabilities for all staff
- effective communication and consultation on health and safety
- development of health and safety competency across the institution that supports the management system
- integration of health and safety management into the institution's planning process
- allocation of sufficient resources for the management of health and safety
- a meaningful set of health and safety performance measures
- the ability to review the working of the health and safety management system and learn from experiences, whether they be positive or negative
- holding the right people to account when it is fair to do so and not to seek to blame people for genuine errors and mistakes

**Management Approach**

The following management approach will be adopted to provide a framework in which to operate and measure ourselves against. Further guidance will be provided by:

- the adoption of the Sector Leadership and management of health and safety in higher education institutions
- the sector Health and Safety Profiling tool (HASMAP).
- The Higher Education Occupational Physicians/Practitioners Guidance on the provision of Occupation Health Services for Higher Education Institutions

These guidance documents have been endorsed by the Health and Safety Executive (HSE) and/or approved by the Universities and Colleges Employers Association (UCEA).

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<tr>
<th>Plan, Do, Check, Act</th>
<th>Conventional health and safety management</th>
<th>Process safety</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plan</strong></td>
<td>Determine your policy / Plan for implementation</td>
<td>Define and communicate acceptable performance and resources needed</td>
</tr>
<tr>
<td><strong>Do</strong></td>
<td>Profile risks / Organise for health and safety / Implement your plan</td>
<td>Implement and manage control measures</td>
</tr>
<tr>
<td><strong>Check</strong></td>
<td>Measure performance (monitor before events, investigate after events)</td>
<td>Measure and review performance/ Learn from measurements and findings of investigations</td>
</tr>
<tr>
<td><strong>Act</strong></td>
<td>Review performance / Act on lessons learned</td>
<td></td>
</tr>
</tbody>
</table>
Summary of Management Tiers and their Role in Health and Safety Leadership

**Governing Body**
University of Surrey Council, who have overall accountability for the Strategy.

**Leadership/Executive Team**
University Executive Board comprising the President and Vice-Chancellor, Provost and Vice Provosts, Executive Deans Senior Vice-Presidents, Vice-Presidents and Chief Operating Officer, who have the responsibility for influencing and shaping the strategic direction of the HEI.

**Senior Managers**
Faculty Managers, Directors, Heads of Department and Directors of Research who have responsibility for developing the strategic plan of a particular Faculty/School or Department.

**Line Managers**
Academic and professional support staff (including Team Leaders, Principal Investigators (PIs), Professional Services Managers) who have responsibility for the day to day implementation of activities and the management of staff in line with the strategic direction of the particular Faculty/ School or Department.

**Supervisory Staff**
Academic, technical and professional support staff (including Laboratory Managers or a supervisor of a frontline service) who directly oversee activities of staff and/or students, but are unlikely to be responsible for developing strategic direction.
# University of Surrey – Health and Safety Strategy 2017/2022

<table>
<thead>
<tr>
<th>Targets</th>
<th>To operate effectively and allow staff, students and visitors to undertake their activities without detriment to their health and safety and wellbeing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ambitions</td>
<td>To be seen as a sector leader</td>
</tr>
<tr>
<td>Objectives</td>
<td>To establish an effective leadership and management culture which secures continuous improvement</td>
</tr>
<tr>
<td>Enablers</td>
<td>Strong health and safety governance procedures</td>
</tr>
</tbody>
</table>
Strategic Objectives

There are six strategic objectives which support the health and safety strategy.

To establish an effective leadership and management culture
- adoption of UCEA Leadership in health and safety guidance within Health and Safety policy
- leaders trained in accordance with the health and safety training matrix
- Leaders trained in management principle which can positively influence ill-health
- Leaders attend safety culture workshop programme
- adoption of leadership behavioural framework model
- incorporation of health and safety objectives (in line with annual assurance statement) into senior manager’s appraisal

To have a fully engaged workforce and student body
- to provide safety culture online training
- to provide safety culture workshops
- to adopt behavioural framework model
- to provide an effective communication plan
- to set up effective mechanisms for raising concerns and issues

To have a fully competent workforce and student body
- established ‘core’ training based on training matrix against required level of competency
- to provide effective specialist training programme based on required level of competency
- incorporate health and safety objectives into appraisal where appropriate
- enhance skill set of Student body to improve employment opportunities

To be positively positioned within the sector incident benchmarking data
- to bring RIDDOR reporting rate in line with sector average
- to bring Occupational Health and /or Human Resources data in line with sector average
- to have in place best practice systems for reporting, actioning and monitoring of incidents and near-misses and work related ill-health
- To maintain the ROSPA Gold award in 2019 and 2021.

To have a high level of assurance against the selected (HASMAP) indicators contained within the annual assurance statement
- To be able to achieve a high level of assurance against identified HASMAP indicators
- to have in place a Risk Management system and corresponding auditing programme

To have no regulatory action and a reduction in personal injury claims and associated costs.
- To put in place effective risk management systems for the control and monitoring of key risks
### Health and Safety Key Performance Indicators

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Measure</th>
<th>2022 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management and commitment</td>
<td>Staff Survey (health and safety in my area)</td>
<td>Greater than 80%</td>
</tr>
<tr>
<td>To have a fully engaged workforce and student body</td>
<td>Health and Safety Survey</td>
<td>Improvement from baseline audit</td>
</tr>
<tr>
<td>To have a competent workforce and Post Graduate student body</td>
<td>Health and Safety Training data</td>
<td>Greater than 90%* uptake against the Health and Safety Training Matrix</td>
</tr>
<tr>
<td>To be positively positioned within the sector benchmarking data</td>
<td>Sector RIDDOR rate, Ill-health data</td>
<td>Less than 1.4 1000 Staff FTE</td>
</tr>
<tr>
<td>To have a high level of assurance against the selected (HASMAP) indicators contained within the annual assurance statement</td>
<td>HASMAP auditing programme</td>
<td>High level of assurance against selected indicators</td>
</tr>
<tr>
<td>To have no regulatory action and a reduction in insurance injury claims and associated costs</td>
<td>Monitor Enforcement action, Insurance claim data</td>
<td>No action taken, reduced claims</td>
</tr>
</tbody>
</table>

*See health and safety training requirements matrix
The rate set for 2017-18 =80% with this rising to 90% in graded steps by 2022.

### Health and Safety Annual Assurance Statement

The above statement is required to be produced annually by all Faculties and those Directorates that have operational risks. The statement is based upon selected criteria the Higher Education health and Safety auditing scheme (HASMAP). These selected indicators give a good overall measure of Health and Safety performance. Additional more bespoke auditing is taken against specific topics based upon the health and safety risk register.
# Health and Safety Training Requirements

## Overview

**Please Note:** These matrices are designed to assist with Training Needs Analysis within each Faculty/School/Department. They show the basic requirements. Additional health & safety training may be required for specific tasks and areas. These should be identified through an assessment of the hazards and risks arising from the activities undertaken, and added to the matrix for the area concerned.

<table>
<thead>
<tr>
<th>Executive Board</th>
<th>Heads of Schools and Departments (High Risk)</th>
<th>Heads of Schools and Departments</th>
<th>Supervisors and Line Managers</th>
<th>Key Health and Safety Personnel</th>
<th>Academic Staff/Researchers</th>
<th>Technical Staff (including Building &amp; Facilities Managers)</th>
<th>Administrative Staff</th>
<th>Support Staff (e.g. security, sports centre, cleaners etc.)</th>
<th>E&amp;FM Staff</th>
<th>Post Graduate Students</th>
<th>Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>Required Online Training</td>
<td>Required Online Training</td>
<td>Strongly Recommended</td>
<td>Where relevant to role</td>
<td>Not applicable</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Staff University Induction</th>
<th>Faculty/Local Health &amp; Safety Induction</th>
<th>Managing Health &amp; Safety</th>
<th>Managing Researcher Safety (as applicable to role)</th>
<th>Display Screen Equipment (DSE) online training &amp; Assessment</th>
<th>Managing Health &amp; Safety Online Refresher training (every 3 years)</th>
<th>Health &amp; Safety Training Online Refresher (every 3 years)</th>
<th>Risk Assessment</th>
<th>Specialist training (non-science based – see Faculty details)</th>
<th>Specialist Training (Science based)</th>
<th>Recognised National qualification in Health &amp; Safety</th>
</tr>
</thead>
<tbody>
<tr>
<td>Required Online Training</td>
<td>Required Online Training</td>
<td>Strongly Recommended</td>
<td>Where relevant to role</td>
<td>Not applicable</td>
<td>Required Online Training</td>
<td>Required Online Training</td>
<td>Strongly Recommended</td>
<td>Required Online Training</td>
<td>Required Online Training</td>
<td>Required Online Training</td>
</tr>
</tbody>
</table>

Legend:
- **Required Online Training**
- **Strongly Recommended**
- **Where relevant to role**
- **Not applicable**
## University of Surrey Annual Health and Safety Assurance Statement

<table>
<thead>
<tr>
<th>Management Commitment &amp; Engagement</th>
<th>Assurance Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Faculty/Directororate has a commitment statement that is signed by the Dean/Director</td>
<td>Basic</td>
</tr>
<tr>
<td>Senior managers chair / attend health and safety meetings / forums</td>
<td>Substantial</td>
</tr>
<tr>
<td>The Dean/Director takes part in health and safety tours of the work area</td>
<td>High</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Arrangements for Risk Assessment</th>
<th>Assurance Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk assessments are in place for all significant risks</td>
<td>Basic</td>
</tr>
<tr>
<td>Risk assessments are appropriately recorded, actioned and reviewed</td>
<td>Substantial</td>
</tr>
<tr>
<td>Assessments of complex risks are subject to peer reviewed</td>
<td>High</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Health and Safety Training &amp; Competency</th>
<th>Assurance Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>A health &amp; safety training needs analysis has been completed</td>
<td>Basic</td>
</tr>
<tr>
<td>Health &amp; safety training records for staff / students show greater than 80% completion against training needs analysis</td>
<td>Substantial</td>
</tr>
<tr>
<td>Health and safety training and competence of staff is reviewed as part of the appraisal process</td>
<td>High</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Inspection and Audit</th>
<th>Assurance Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health and safety inspections are undertaken during the year involving the manager / supervisor of the area.</td>
<td>Basic</td>
</tr>
<tr>
<td>A risk based schedule of health and safety inspections is followed during the year with action plans in place. Inspection checklists are targeted to reflect specific areas or risks.</td>
<td>Substantial</td>
</tr>
<tr>
<td>Persons independent of the function are involved in the inspections. Significant findings from inspections are discussed at health and safety committee / management meetings.</td>
<td>High</td>
</tr>
</tbody>
</table>
### Incident Reporting

<table>
<thead>
<tr>
<th>Incident Reporting</th>
<th>Assurance Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>A system is in place to record all accidents / incidents in the workplace, with RIDDOR reporting processes established.</td>
<td>Basic</td>
</tr>
<tr>
<td>Managers are involved in accident / incident data review and participate in incident investigations as appropriate.</td>
<td>Substantial</td>
</tr>
<tr>
<td>There is a system in place for sharing learning from incident investigations more broadly across the institution</td>
<td>High</td>
</tr>
</tbody>
</table>

### Accident / Incident Rate

<table>
<thead>
<tr>
<th>Accident / Incident Rate</th>
<th>Assurance Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lost time rate (Based upon rolling average over 3 years): number of incidents resulting in more than one day lost number of staff in Faculty / Division</td>
<td>Basic</td>
</tr>
<tr>
<td>Target set by Faculty/Directorate</td>
<td>Basic</td>
</tr>
<tr>
<td>Target set by Faculty/Directorate</td>
<td>Substantial</td>
</tr>
<tr>
<td>Target set by Faculty/Directorate</td>
<td>High</td>
</tr>
</tbody>
</table>
### STAKEHOLDER ANALYSIS AND COMMUNICATION AND IMPLEMENTATION PLAN

**Policy Name:** Health and Safety Policy  
**Operational Owner:** Clive Parkinson, Director of Health and Safety  
**Executive Owner:** Paul Stephenson, VP HR  
**Effective Date:** .... July 2018  
**Policy Review Date:** .... July 2021

*NB: This template exists to assist with implementation and communication of new/significantly updated policies. Less complex policy documents may not require as much detail. Each Implementation and Communication Plan should be tailored to the circumstances of the particular policy document.*

**Version History of the Communication and Implementation Plan**

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Author</th>
<th>Amendment</th>
<th>Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>... July 2018</td>
<td>Clive Parkinson</td>
<td>First Draft referencing version 3 of the Health and Safety Policy (2018)</td>
<td>HSC, HSCC, EB (as part of the Health and Safety Policy)</td>
</tr>
</tbody>
</table>
Appendix 5

1. Roles and responsibilities

To identify who will do what during communication and implementation of the policy.

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibility</th>
<th>Name / position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordination</td>
<td>Ultimate responsibility for coordination of the implementation and communication</td>
<td>Clive Parkinson, Director of Health and Safety</td>
</tr>
<tr>
<td>Stakeholder analysis</td>
<td>Gathering input from relevant stakeholders and incorporating into plan</td>
<td>Health and Safety Committee, Health and Safety Consultative Committee, Executive Board</td>
</tr>
<tr>
<td>Training</td>
<td>Delivery of any specific training required.</td>
<td>Health and Safety Induction issued to all new staff; Online Refresher available to all staff to retake every 3 years</td>
</tr>
<tr>
<td>Internal communications</td>
<td>Emails, announcements, web, face-to-face briefing sessions</td>
<td>Health and Safety Intranet updated; Policy Website</td>
</tr>
<tr>
<td>Change management</td>
<td>Where complete or significant change is required in working practices and there is a related change project established. Otherwise N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

2. Stakeholder analysis

This is to identify the key stakeholders involved in communication and implementation and to gather the requirements for both parties in order to ensure mutual understanding.

<table>
<thead>
<tr>
<th>Stakeholder(s)</th>
<th>Department</th>
<th>What do we need them to know?</th>
<th>What do they want to know?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health and Safety Consultative Committee</td>
<td>N/A</td>
<td>Any significant changes</td>
<td>Any significant changes</td>
</tr>
<tr>
<td>Health and Safety Committee</td>
<td>N/A</td>
<td>Any significant changes</td>
<td>Any significant changes</td>
</tr>
<tr>
<td>Executive Board</td>
<td>N/A</td>
<td>Any significant changes</td>
<td>Any significant changes</td>
</tr>
</tbody>
</table>
Appendix 5

3. Plan of Activities

The schedule of communication and implementation activities.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Responsible for delivery</th>
<th>Scheduled start</th>
<th>Scheduled Finish</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Policies Web</td>
<td>Updating Policy website</td>
<td>Secretariat</td>
<td>31/07/2018</td>
<td>30/08/2018</td>
</tr>
<tr>
<td>2 Health and Safety Intranet site</td>
<td>Updating Intranet site – linking to University Policy site</td>
<td>HS Team Admin (Sally Chedgey)</td>
<td>31/07/2018</td>
<td>30/08/2018</td>
</tr>
<tr>
<td>3 Induction training</td>
<td>Updating training</td>
<td>Health and Safety Managers</td>
<td>31/07/2018</td>
<td>31/09/2018</td>
</tr>
<tr>
<td>4 Online Refresher Course</td>
<td>Updating training</td>
<td>Health and Safety Manager (Professional Services)</td>
<td>31/07/2018</td>
<td>31/09/2018</td>
</tr>
<tr>
<td>5 Health and Safety Newsletter</td>
<td>Update article</td>
<td>HS Team Admin (Sally Chedgey)</td>
<td>31/07/2018</td>
<td>31/09/2018</td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>