

Organisational Arrangements: Roles and Responsibilities for the Management of Health and Safety

Document Control Information	
Version control	1.2
Owned by:	Health and Safety Team
Latest amendment on:	22-09-2022
Approved by:	Health and Safety Committee
Approved on:	08-01-2019
Coming into effect on:	08-01-2019
Review date:	October 2025

Contents

1. Introduction.....	3
2. Scope	3
3. General Requirements.....	3
4. Roles and Responsibilities.....	3
4.1 Employees.....	3
4.2 Board of Governors	4
4.3 Vice Chancellor.....	4
4.4 Senior Leadership Team	4
4.5 Heads of Schools/ Professional Services Directorates (PSD)	4
4.6 Heads of Department/ Subject/ Unit	5
4.7 Line Managers.....	5
4.8 Academic Members of Staff.....	6
4.9 Students, Visitors, Contractors and Others.....	6
4.11 Health and Safety Team	6
4.12 Health and Safety Representatives	7
4.13 Departmental Safety Liaison Officers	8
5. Appendix A: Managing Health and Safety in Research (Including both artistic and novel design & discovery)	8
5.1 Introduction.....	8
5.2. Additional responsibilities in research.....	9
5.2.1. Directors of Research/ Heads of School	9
5.2.2. Head of Departments/Subjects	9
5.2.3 Principal Investigators (PIs)/ Supervisors	10
5.2.4 Post-doctoral researchers/ research supervisors.....	10
5.2.5 Project students and trainee researchers	10
5.2.6 Research support workers	11
6. Risk Assessment.....	11

1. Introduction

The Health and Safety at Work etc. Act 1974 and the Management of Health and Safety at Work Regulations 1999 require London Metropolitan University to identify the organisational arrangements for implementing its Health and Safety Policy. This document forms part of the University's organisational arrangements for managing health, safety and welfare. It is not exhaustive as some specific risks (e.g. Asbestos) have separate arrangements.

2. Scope

The aim of this document is to ensure that employees and all other persons using or working on University premises, and/or who are affected by the University's undertakings are aware of their health and safety responsibilities. These organisational arrangements fulfil part of the University's duties under the Management of Health and Safety at Work Regulations 1999.

3. General Requirements

Everyone employed or studying with the University or working on its premises has a responsibility to work with due regards for the health and safety of themselves and those around them.

4. Roles and Responsibilities

4.1 Employees

All University staff are required by law, and this policy, to:

- At all times comply with the requirements of the University's Policy and Procedures.
- Have a statutory duty to safeguard their own and others' health and safety.
- Always wear appropriate PPE and use appropriate safety equipment/ devices where risk assessment determines it is required to do so.
- Report all accidents, incidents, diseases and dangerous occurrences whether persons are injured or not.
- Make suggestions to their Line Manager or other senior manager, or to the Health & Safety Committee for the improvement of health and safety within the University.
- Report immediately to their line manager or other University manager as appropriate or convenient, any perceived health and safety hazards and seek advice and guidance on any matters of which they have doubts or concerns.
- Have regard to the fact that breaches of health and safety rules will be dealt with through the University's disciplinary procedures and that any acts of omissions which place others at risk of serious injury will be considered as gross misconduct within the terms of that procedure.
- Have regard to the fact the role of the University's appointed Health and Safety team whether appointed as direct employees or through consultancy, is to offer advice and guidance in matters of health and safety. It is not their

role to assume the duties and responsibilities assigned to staff.

4.2 Board of Governors

The Board of Governors aims to reduce the frequency and severity of accidents and incidents by providing leadership in setting health and safety priorities. The Board of Governors has a responsibility to ensure commitment to the University's Health and Safety Policy, and to ensure the provision of safe and healthy working conditions. The Board of Governors delegates this responsibility through the University's Line Management structure.

4.3 Vice Chancellor

The Vice-Chancellor will ensure that:

- There is both an effective policy and appropriate arrangements for health and safety within the University and, through them, that the requirements of all relevant health and safety legislation are met.
- Adequate resources are made available to support the effective working of the policy and procedures.
- The effectiveness of the policy and procedures are appraised and any necessary changes are made.
- All staff and students are aware of their duties with regards to health and safety and that they have received appropriate training.
- An appropriate number of competent Health and Safety professionals are appointed to advise on health and safety across the University.
- The University has a Health and Safety Committee and be represented at its meeting either in person or by a member of Senior Management.
- Suitable arrangements are in place for consultation with members of staff and students.

4.4 Senior Leadership Team

- Will assist the Vice-Chancellor in ensuring that there is both an effective policy and appropriate working arrangements for health and safety within the University.
- May be required to represent the Vice-Chancellor at University Health and Safety Committees.
- Will be responsible for ensuring that all policy and procedures are implemented including the general requirement for risk assessment, inspections, training and record keeping.
- Will be pro-active in encouraging interest in managing health and safety effectively by demonstrating personal concern and commitment and by encouraging their staff to do so the same.
- Will note any special responsibilities assigned to their roles, or to the role of those within their areas of responsibility.

4.5 Heads of Schools/ Professional Services Directorates (PSD)

- Will ensure compliance with the policy and procedures within their School and

other areas of responsibility.

- Will ensure that School-specific health and safety arrangements, where required (i.e. biological safety) are developed, publicised and implemented, including preparation and review of the health and safety plan
- Will ensure that the lines of management with specific responsibilities for health and safety are clear and that all School members are made aware.
- Will ensure that all School members are aware of hazard reporting procedures.
- Will ensure that adequate cross-School training is carried out including specific requirements such as chemical safety etc. as identified by risk assessment.
- Will liaise with the University's Health and Safety Team.

4.6 Heads of Department/ Subject/ Unit

- Will ensure compliance with the policy and procedures within their area of responsibility.
- Will ensure that suitable and sufficient risk assessments are undertaken for the area and activities for which they are responsible and will ensure that suitable control measures are identified and implemented.
- May nominate a Departmental Safety Liaison Officer (DSLO) to liaise with the University Health and Safety Team in order to ensure health and safety issues and legal responsibilities are addressed effectively.
- Are responsible for authorising School/ Departmental Codes of Practice and any local rules after prior consultation with the application DSLO (where one has been appointed), and/or competent person and trade union representatives and for ensuring that these are implemented and communicated to members of staff and students.
- Will ensure that health and safety is an agenda item on an appropriate regular meeting.
- Will liaise with the University Health and Safety Team.
- Will be pro-active in managing health and safety.

4.7 Line Managers

- Have a general duty to manage the health, safety and welfare of their direct reports. They have a duty to ensure that those direct reports who have line management responsibility for others are effectively managing the health, safety and welfare of those direct reports.
- Are responsible for ensuring the clear communication of relevant health and safety information throughout the management chain.
- Must ensure that their staff are sufficiently competent, and are sufficiently well supervised, to ensure their health and safety and that of others who may be affected by their actions or omissions.
- Where necessary, must ensure cooperation between individuals and others to ensure the effective provision of health and safety for the areas and activities under their control.
- Will ensure that regular inspections are carried out within their areas of responsibility and that all actions identified are implemented appropriately and promptly.
- Must ensure that the specialist health and safety responsibilities of their staff are

emphasised, and that adequate support is provided to those staff who have specialist health and safety responsibilities (e.g. for asbestos, biological safety etc.)

4.8 Academic Members of Staff

- Will ensure that suitable and sufficient risk assessments are undertaken for the areas and activities for which they are responsible and will ensure that suitable control measures are identified and implemented.
- Will ensure that employees and students under their direction:
 - Are adequately inducted and trained and fully aware of any hazards in their work areas.
 - Know what to do in the event of an emergency (including fire and first aid) and how to report accidents.
 - Are adequately supervised at all times, particularly where inexperienced workers or students are concerned.
 - Are adequately supervised when carrying out potentially hazardous activities as part of their course, including fieldwork and placements.

4.9 Students, Visitors, Contractors and Others

- Will ensure that they are aware of the University's health and safety rules and procedures; understand them and conform to them at all times.
- Will always wear appropriate safety clothing and use appropriate safety equipment when indicated that these are necessary.
- Are not permitted to use any machinery, equipment, substance or safety devices that has been provided unless they are deemed competent to do so, having received adequate training and instructions from the appropriate member of staff within their School.
- Will report all hazards, accidents and dangerous occurrences to a member of University staff, where persons are injured or not.
- Will have regard to the fact that breaches of health and safety rules will be dealt with through the appropriate disciplinary procedures and that any acts or omissions which place others at risk of serious injury may result in removal from site and/ or immediately termination of Contract.
- Will be familiar with the actions to take in the event of a fire or on hearing the fire alarm and will promptly leave the premises and assemble at the relevant assembly point.
- Will know the procedures for summoning assistance in the event of accident or ill-health.
- Will leave the site clean and safe.

4.11 Health and Safety Team

- Will recommend and communicate University Health and Safety Policy and Procedures.
- Will advise on all areas of health and safety relating to the University and its

undertakings.

- Will, in conjunction with CPED, arrange appropriate training and advise on individual requirements.
- Will, in conjunction with HR, ensure that appropriate Occupational Health provision is available.
- Will manage the recording and investigation of accidents, occupational diseases and dangerous occurrences and liaise with enforcement agencies if required.
- Will implement a University-wide programme of health and safety audits.
- Will maintain effective working relationships with appropriate regulatory authorities and emergency services.
- Have the authority to prevent any activity, process or equipment from being used where it presents an imminent and significant risk to health and safety.
- Will assess the risks arising from inspections and audits and recommend suitable risk control measures.
- Will assess the requirement for adequate first aid cover and arrange appropriate recruitment and training of first aiders.
- Will assess the requirement for specialist health and safety advisors and advise management accordingly.

4.12 Health and Safety Representatives

- Recognised Trade Unions may appoint Safety Representatives to perform the function and activities as specified in the Health and Safety at Work etc. Act 29174 and the Safety Representatives and Safety Committee Regulations 1977.
- Safety Representatives are required to represent all members of the University at local meetings and at University Health and Safety Committee unless the University notified in writing to the contrary.
- Notification of non-union member representation requires the election of non-union Representative of Employee safety under the Health and Safety (Consultation with Employees) Regulations 1996. This process is managed by the University Secretary.
- Notification of the names of Safety Representatives when appointed must be made in writing to the Director of HR by an official of the trade union concerned. The appointment of a Safety Representative will only be accepted by the University where such formal notification is made, **and** where the Board of Governors formally recognises the Union.
- The University recognises the value of working with Safety Representatives and the University, and recognised Unions will work together within the standards outlined in the HSE publication 'Consulting workers on health and safety.' This will include the University making provision to allow Safety Representatives to carry out their functions of:
 - Incident investigation,
 - H&S representation,
 - inspection,
 - consultation,
 - receipt of information from inspection authorities.
- The University will liaise with the relevant Safety Representatives over any changes which may have a significant effect on the health, safety or welfare of employees or students within the University.

- It is recognised that some specialist training is a requirement for Safety Representatives and that HR and CPED should be kept aware of any staff issues to ensure that Safety Representatives receive appropriate support.

4.13 Departmental Safety Liaison Officers

Departmental Safety Liaison Officers (DSLOs) are responsible for coordinating health and safety matters in School and Departments and the University will offer training so that they are qualified to IOSH Managing Safety level (or equivalent). DSLOs are appointed for each of the Schools and Professional Service Departments. Normally each department should appoint a DSLO although alternative approaches can be agreed with the Health & Safety Team. Where no DSLO is appointed, the Head of Department agrees to discharge the duties through the management chain.

DSLOs support managers in implementing arrangements locally. DSLOs will receive an honorarium as set by the Health & Safety Committee and reviewed periodically.

- Support managers and conduct regular inspections as outlined in the H&S plan.
- Communicate about significant events, changes to legal requirements or relevance to the School or Department.
- Attend the DSLO forum.
- Report and support investigations into accidents and incidents which have taken place within the School or Department.
- Seek advice on interpretation of health and safety legislation and best practice from the H&S Team.
- Support Heads of School/PSD in the preparation and review of the health and safety plan.

5. Appendix A: Managing Health and Safety in Research (Including both artistic and novel design & discovery)

5.1 Introduction

In this policy we refer to all activities undertaken in laboratories, workshop and fieldwork where the students are allowed to explore concepts and practices where novel approaches may need to be developed, and outcomes may be unforeseen/unknown at the outset, as research..

Research is about investigating new avenues of knowledge, and this carries an unavoidable element of the unknown. The outcome of research work can be uncertain or can differ from what was originally predicted.

Health and safety legislation applies just as much to research as it does to any other area of industry. Despite the inherent elements of uncertainty, it is possible for research workers to innovate without exposing themselves or others to unnecessary health and safety related risks. Sensible management systems, together with suitable practical training for those involved are essential to providing a framework in which people can work safely.

This procedure draws much of its content from the document 'Responsible Research: Managing Health and Safety in Research (IOSH 2012) www.iosh.co.uk/ushaguide. UCEA and USHA worked with IOSH to produce this guidance at the request of the HSE.

5.2. Additional responsibilities in research

5.2.1. Directors of Research/ Heads of School

In addition to section 4.5/4.6, Directors of Research/ Heads of Schools should ensure that:

- a) Appropriate permits and licenses are obtained before the research, and records of authorization, training, incidents and maintenance are kept.
- b) Appropriate planned, preventative maintenance regimes are in place.

5.2.2. Head of Departments/Subjects

The Head of Department is responsible to the Dean or Director of Research for the safe and legal conduct of research under their remit. Their responsibility cannot be delegated. As with all people working in the research environment, the Head of Department is responsible for their own safety and the safety of others who may be affected by their unsafe acts or omissions. In addition to section 4.6, they should ensure that:

- a) Special permission or licensing arrangements are in place.
- b) Appropriate supervision is available for researchers and research support workers, depending on the risk of the activity and the age and experience of the individual.
- c) Programmes of work have been risk-assessed and the health and safety of researchers and other will not adversely be affected by known or emerging risks.
- d) Individual responsibilities for health and safety are allocated appropriately and performance is reviewed as part of the annual appraisal. Only principal investigators meeting the required standards are allowed to supervise PhD students.
- e) Consideration is given to the health and safety management, training and communication arrangements for researchers with disabilities or for those whose first language is not English.
- f) Robust emergency plans are in place for the workplace and research activities which pose high safety risks.
- g) They are made aware of reported incidents and near misses and will ensure that appropriate actions are taken to prevent a recurrence.
- h) They are informed about the outcome of safety performance measures such as inspections, safety tours, health surveillance, compliance with risk control systems and safe systems or work, training events attended, work-related injury and ill-health figures.

- i) They take the appropriate actions recommended by audit findings of non-conformance.
- j) They set an example by their own behaviour and are prepared to take action if health and safety is compromised by the things their researchers do or fail to do.

5.2.3 Principal Investigators (PIs)/ Supervisors

PIs are generally experts in their field of research and are expected to have up-to-date knowledge about the risks associated with their research area. They are responsible to the Head of Department and/ or Dean for the health and safety of their researchers and others who may be affected by their research activities. In addition to section 4.7/4.8, PIs should:

- a) Be aware of the legal requirements for their area of research and be able to identify and manage the risks in their field of work.
- b) Ensure their research supervisors and post-doctoral researchers are trained in risk assessment techniques and are competent to supervise others in their research activity.
- c) Enforce health and safety standards and codes of practice and set a good example to their research staff and others in the workplace.
- d) Use safe work practices and take action when health and safety is compromised by researchers' actions or omissions.
- e) Recognise and reward good safety performance.
- f) Consider health and safety and environmental requirements at the planning stage of project proposals
- g) Where necessary, consult specialist safety advisers and inform them of the proposed research projects.
- h) Lead by example!

5.2.4 Post-doctoral researchers/ research supervisors

- a) Post-doctoral researchers and research supervisors should be competent in the research area and aware of the risks inherent in the techniques, equipment and methods they use.

Although post-doctoral researchers may be given day-to-day responsibility for ensuring that research is carried out without causing unacceptable risk to health and safety, the overall health and safety responsibility flows through the line management chain and ultimately rests with the Vice-Chancellor.

5.2.5 Project students and trainee researchers

Trainee researchers can't be assumed to be aware of the health and safety risks of the research or workplace and must be supervised until they are competent to work without direct supervision.

5.2.6 Research support workers

It is important to establish the risks the research poses to the health and safety of research support staff and others who may be affected in the University. As with researchers, responsibility for the health and safety of employees flows up the line management chain to the Vice-Chancellor. The risks the research activity could present to cleaners, maintenance staff, engineers, technicians and so on must be assessed and adequate control measures put in place before the research project starts. Research support workers must be informed about relevant risks, associated risk control measures and their personal responsibility for health and safety. They should also be competent to discharge their duties without causing harm to themselves or others.

In addition to section 4.1, technical staff carries out a responsibility to assist Heads of Subjects in ensuring that suitable and sufficient risk assessments are undertaken for the area and activities for which they are responsible. Technical staff has the best expertise in their area of activities and should receive a training in identification and controlling of workplace hazards to be able to conduct, review and update (in consultation with academics and students) risk assessments for the processes and activities in their areas. See Section 6 for more details on risk assessment responsibilities.

6. Risk Assessment

All research tasks and projects should be evaluated for foreseeable health and safety risks before the work starts and ensure that significant risks are recorded and that reasonably practicable risk control measures are put in place. These control measures should be built into systems of work and research protocols. Risk Assessments should be carried out by competent people.

Guidance on risk assessment can be found on University's Health and Safety webpage <https://www.londonmet.ac.uk/about/policies/policies-a-z/> .

In the case of research which might involve hazardous substances, equipment or processes, you might need to consider less well-known hazards, especially where new materials and processes are being used. Heads of Department, PIs and research supervisors and their teams might be the only people who know the work well enough to make valid judgements about the risk and should be prepared to justify their conclusions.

PIs and supervisors take responsibility for all assessments associated with their projects, but they may occasionally need to ask technical staff or research workers to risk-assess some aspects of the work. The research supervisor or PI should check that the researchers doing this have been trained in risk assessment practice and that the assessments have been completed to a satisfactory standard. The persons conducting the risk assessment are the owners of this risk assessment.

The owners of the risk assessment should communicate its findings, and associated risk control systems to all those involved in the any part of the assessed activity. Researchers and research support workers should be informed about the hazards and risks they might be exposed to and how they can work safely. It's important to establish that the proposed control measures are practicable and don't increase risk elsewhere in the research or University. Risk Assessments should be monitored, reviewed and revised at specified intervals or after an incident or near miss by the risk assessment owners. They should also be revised to capture any new risks after significant changes to the research task, equipment, techniques, etc.

The risk assessment process can be used to identify, evaluate and control more than health and safety risks. Research Councils UK has published its Policy and Code of Conduct on the Governance of Good Research (<https://www.ukri.org/about-us/policies-and-standards/research-integrity/>) which sets out the safety and other potential research risks that must be addressed such as conduct, ethics, integrity and data management.