

# University Occupational Health and Safety Guidance Notes

## PREPARING A SAFETY, HEALTH AND WELLBEING RISK REGISTER AND PROFILE

1.	PURPOSE .....	2
2.	SCOPE .....	2
3.	ABBREVIATIONS .....	2
4.	DEFINITIONS .....	2
5.	ROLES AND RESPONSIBILTIES .....	2
6.	OCCUPATIONAL HEALTH AND SAFETY RISK REGISTERS.....	4
7.	PREPARING A SAFETY, HEALTH AND WELLBEING RISK PROFILE .....	6
	APPENDIX 1 – Risk Register Flow Chart .....	8

## 1. PURPOSE

The purpose of this document is to provide guidance on compiling a Safety, Health and Wellbeing Risk Register and Risk Profile. This guidance may be used to assist departments in either creating a Safety, Health and Wellbeing Risk Register and Risk Profile or amending existing documents to achieve the minimum requirements of the Hazard Identification and Risk Management Standard.

## 2. SCOPE

This document applies to all Departments/Faculties/Directorates within the University.

## 3. ABBREVIATIONS

<b>ASAP</b>	Annual Safety Action Plan
<b>DSC</b>	Departmental Safety Coordinator
<b>HoD</b>	Head of Department
<b>PI</b>	Principal Investigator
<b>SACSOH</b>	Statutory Advisory Committee on Safety and Occupational Health
<b>SHaW</b>	Safety, Health and Wellbeing
<b>USCO</b>	University Secretary and Compliance Officer

## 4. DEFINITIONS

- 4.1 Impact / Disruption** – The level of effect a hazard may have on an areas ability to function normally and to carry out its business aims.
- 4.2 Hazard Mapping** – An exercise is determining which areas are affected by, or are vulnerable to, a hazard, and making this information available, typically in the form of hazard signage.
- 4.3 Risk Profile** - Based on information from a relevant Safety, Health and Wellbeing Risk Register, a visual representation of occupational health and safety risks within a given area. lain out in descending order to allow the area to identify its most serious risks.
- 4.4 Risk Register** - A formal document, known as the Safety, Health and Wellbeing Risk Register. It summarises the health and safety risks within a given area.
- 4.5 Significant Risks** – Any identified risk that is likely to led to serious injury or illness or that will have a measurable impact on the areas ability to carry out its day to day work.

## 5. ROLES AND RESPONSIBILTIES

### 5.1 University Secretary and Compliance Officer

The USCO has delegated authority from the Principal for leading the University corporate Occupational Health and Safety Management System.

The USCO is responsible for establishing a corporate Safety, Health and Wellbeing Risk Register and Risk Profile, and ensuring that this is reviewed regularly. This document is compiled on behalf of the USCO by the Head of SHaW from information supplied by departments.

### 5.2 Other Executive Officers

All Executive Officers are responsible for:

- overseeing the development of a Faculty/Directorate Safety, Health and Wellbeing Risk Register and Risk Profile for their areas and must ensure this information is reviewed at least every 12 months.
- considering safety, health and wellbeing risks in all key business decision making.

### 5.3 Faculty/Directorate Health, Safety and Wellbeing Manager/Adviser (or equivalent)

Appointed by the Executive Dean for their area to provide competent health and safety advice and support within their area of responsibility. They are expected to:

- assist with the development of a Faculty/Directorate Risk Register and Risk Profile, identifying any gaps which need addressed, and determining suitable controls as necessary;
- ensure that information contained in the Faculty/Directorate Safety Health and Wellbeing Risk Register is reported to SACSOH for review at least annually.

#### **5.4 Faculty/Directorate Health, Safety and Wellbeing Committee**

The Faculty/Directorate Health, Safety and Wellbeing committee is responsible for:

- collating the risks that are submitted by their departments, and including these in the Faculty/Directorate Safety, Health and Wellbeing Risk Register;
- reviewing the Faculty/Directorate Safety, Health and Wellbeing Risk Register to determine the most appropriate division of resources to ensure that departments can manage their risks appropriately.

#### **5.5 Head of Department**

Hold delegated authority for the health and safety of all those personnel who work within their area of responsibility.

Heads of Departments must ensure that they oversee the development of the Departmental Safety, Health and Wellbeing Risk Registers, Risk Profiles and a Safety, Health and Wellbeing Action Plan and ensure the information is reviewed at least annually.

#### **5.6 Departmental Safety Coordinators**

Provide a coordinating role within departments and act as the main point of contact for championing safety, health and wellbeing issues as delegated by the HoD.

The DSC will:

- assist the HoD with the development of a Departmental Safety, Health and Wellbeing Risk Register and Risk Profile, identifying any gaps which need addressed;
- review the Departmental Safety, Health and Wellbeing Risk Register and Risk Profile at appropriate intervals;
- ensure that relevant information is passed to the Faculty Safety, Health and Wellbeing committee for inclusion in the Departmental Safety, Health and Wellbeing Risk Register and Action Plan;
- ensure that information contained in the Departmental Risk Register is reported to SHaW for inclusion in the Corporate Risk Register.
- assist the HoD with the development of a suitable Departmental Safety, Health and Wellbeing Action Plan to address the most significant safety, health and wellbeing issues identified in the Departmental Safety, Health and Wellbeing Risk Register.

#### **5.7 Line Managers, Principal Investigators and Research Supervisors**

Responsible on a day-to-day basis for ensuring that this Standard is effectively implemented within their area of responsibility and risks associated with activities undertaken are appropriately managed. They must ensure that:

- when requested, they provide information to the DSC and/or the HoD on the risks present in their work to assist in the completion of the Departmental Risk Register and Risk Profile, and Emergency Response Plans.
- complete, and return, when requested, the Hazard Identification Form to the DSC;
- implement any additional controls as identified during the review of the Departmental Safety, Health and Wellbeing Risk Registers.

#### **5.8 Department Health, Safety and Wellbeing Committees**

The purpose of a Departmental Health, Safety and Wellbeing Committee is to assist the HoD in fulfilling their health and safety functions.

The Committees duties include:

- reviewing the Departmental Safety, Health and Wellbeing Risk Registers, Risk Profiles (and Action Plans) at least annually;

- giving sufficient consideration to safety, health and wellbeing risks in all key business decision making;
- reviewing risks and issues which have been reported/escalated from staff, students and their representatives.

### **5.9 Safety, Health and Wellbeing Team**

The SHaW team is responsible for:

- collating Departmental Safety, Health and Wellbeing Risk Registers annually;
- preparing, maintaining and distributing the Corporate Safety, Health and Wellbeing Risk Register on behalf of the University Secretary and Compliance Officer.

## **6. SAFETY, HEALTH AND WELLBEING RISK REGISTERS**

A Safety, Health and Wellbeing Risk Register is a formal document that collates the risks present within a given area in the University, together with the risk control measures in place to manage these.

The Safety, Health and Wellbeing Risk Register should not be confused with Business Risk Registers as required under the University's Risk Management Framework.

### **6.1 Risk Register Owners**

Safety, Health and Wellbeing Risk Registers within the University are held at the following levels:

#### **6.1.1 Departmental**

Departments are expected to maintain a register of all safety, health and wellbeing risks that are present within the areas that they are responsible for managing.

A completed Risk Register provides an overview of the risks within the department, allowing the prioritisation of expenditure and resources to manage the risks which present the greatest threats.

The Departmental Risk Register can be used to assist departments in completing their Safety, Health and Wellbeing Action Plan.

Departments must provide copies of their Risk Registers to SHaW annually.

#### **6.1.2 Faculty/Directorate**

Faculties/Directorates are expected to maintain a register of all safety, health and wellbeing risks reported by their areas of responsibility. This provides an overview of the most significant risks they are responsible for overseeing.

The Faculty/Directorate Risk Register will enable Faculty/Directorate to provide appropriate resources to departments so that they can manage these risks effectively.

The Faculty/Directorate Risk Registers must be submitted to SACSOH annually, co-ordinated by the Faculty/Directorate Health, Safety and Wellbeing Manager/Adviser.

#### **6.1.3 Corporate**

The Corporate Safety, Health and Wellbeing Risk Register reflects all hazards across the University and is informed by Departmental Risk Registers that are submitted to SHaW annually. The Corporate Risk Register enables the University to evaluate the impact of unwelcome events on performance or reputation, and to appropriately focus its resources on managing the most significant risks to the health and safety of persons affected by its activities/undertakings.

### **6.2 Preparing a Departmental Safety, Health and Wellbeing Risk Register**

A Safety, Health and Wellbeing Risk Register uses information from various sources to identify hazards, the severity and likelihood of any risks and also provides an assessment of the control effectiveness and potential level of impact/disruption of an adverse event.

Further information on completing a Departmental Safety, Health and Wellbeing Risk Register can be found in Appendix 1 'Risk Register Flow Chart'.

### 6.2.1 Informing the Risk Register

The Risk Register must be informed by the hazards present within the area being assessed. The [Hazard Identification Form](#) may be used by DSCs to collate information from Line Managers, PIs and Research Supervisors within their area of responsibility.

Various sources of information can be used to identify the hazards, including:

- **Risk assessments** provide significant information regarding risks. They provide information on the risk, the likelihood, the severity and what risk control measures are already in place.
- **Incidents/accidents history** may indicate if there are any uncontrolled risks that may not have been captured by risk assessment.
- **Performance monitoring** ensures that the risk assessment programme for an area is being appropriately implemented, and where it is not, what corrective action can be taken. Reports generated from this will provide significant information on departmental hazards and associated risks.
- **Hazard mapping exercises** may highlight an area that contains a risk that has previously gone unnoticed.

### 6.2.2 Populating the Risk Register

Once the information has been collated, the DSC scores the risks to give a departmental risk rating, according to the risk rating matrix criteria found on the Hazard Identification Form, and then populates a Departmental Risk Register ([an example template is provided](#)) containing the following information:

- hazard;
- existing controls;
- control effectiveness;
- level of impact / disruption;
- severity of an adverse event;
- likelihood of an adverse event;
- consequences of an adverse event;
- overall risk rating;
- opportunities for improvement and further actions required;
- risk owner;
- review frequency.

The Corporate Occupational Health and Safety Risk Register will be published on the SHaW website in the future, but is currently available from SHaW by emailing [safety@strath.ac.uk](mailto:safety@strath.ac.uk). This can then be used as a reference when completing a Departmental Risk Register.

### 6.2.3 Assigning actions

The Departmental Health, Safety and Wellbeing Committee should review the Risk Register to identify if there are any opportunities for improvement. Where opportunities are identified, further actions must be taken to improve the overall risk control.

Any additional actions must be assigned to an Action Owner, who is responsible for implementing the additional controls and feeding back to the Departmental Safety, Health and Wellbeing Committee on progress against the actions.

### 6.2.4 “High” and “Very High” Risks

If any risks are reported as being “High” (Risk Rating of 10-16) or “Very High” (Risk Rating of 17-25), or where the level of impact is identified as “Moderate” or “Major”, the Departmental Safety, Health and Wellbeing Committee must order the work to stop immediately, or as soon as it is safe to do so, until the risk assessments are reviewed and any necessary further controls are implemented. The DSC must also report these to the holder of the Departmental Business Risk Register and to the Department’s Senior Management Team.

The Departmental Senior Management Team must ensure that a Risk Owner is appointed to develop appropriate plans and processes to ensure that the department is still able to carry out its functions in case the risk causes a significant disruption.

The Risk Owner must update the Departmental Safety, Health and Wellbeing Committee regularly so that the information can be included in the Safety, Health and Wellbeing Risk Register and information can be relayed to the Senior Management Team.

### **6.2.5 Approving the Risk Register**

The HoD has the responsibility for approving the Department Safety, Health and Wellbeing Risk Register once it has been agreed by the Departmental Safety, Health and Wellbeing Committee. Following approval, the department must submit a copy (alongside their Safety, Health and Wellbeing Action Plan for the coming year) to SHaW. This information is used to create the Corporate Safety, Health and Wellbeing Risk Register for the University.

### **6.2.6 Reporting the Risk Register**

Departments must report the five highest scoring risks to their Faculty/Directorate Health, Safety and Wellbeing Manager (or equivalent) for inclusion in the Faculty/Directorate Risk Register. This will enable the Faculty/Directorate to determine appropriate allocation of resources within their area of responsibility.

#### **1) Department reporting to SHaW**

When the department has completed its Risk Register, they must submit a copy of this to SHaW. This submitted document is used by SHaW to develop and maintain the Corporate Risk Register.

Whenever a Department reviews its Risk Register, it must ensure that this reviewed document is submitted to SHaW to ensure that the Corporate Risk Register is maintained.

#### **2) Faculty reporting to SACSOH**

Faculties are not required to submit their Faculty Risk Registers to SHaW. However, they must ensure that any significant unresolved risks are reported to SACSOH when it convenes as part of their annual planning process.

If a significant risk arises within a Faculty that may present a significant risk before the SACSOH committee sits, then the Faculty/Directorate Health, Safety and Wellbeing Manager/Adviser (or equivalent) must ensure this is reported to SHaW.

#### **3) SHaW reporting Corporate Risk Register to SACSOH**

When the SACSOH committee sits, SHaW will present the Corporate Risk Register, and provide details of what is being done to manage the most significant risks.

### **6.2.7 Reviewing the Risk Register**

The Safety, Health and Wellbeing Risk Register must be reviewed regularly (at least every 12 months) to ensure that the information it contains remains up to date and any new risks are captured for reporting.

This process allows the department to monitor progress against assigned actions, and that progress is being made towards improving the management of health and safety within their area.

### **6.2.8 Informing the Safety, Health and Wellbeing Action Plan**

The information in the Safety, Health and Wellbeing Risk Register will assist in the creation of the Safety, Health and Wellbeing Action Plan, facilitating objective setting for the forthcoming year.

## **7. PREPARING A SAFETY, HEALTH AND WELLBEING RISK PROFILE**

The Safety, Health and Wellbeing Risk Profile provides a graphical representation of the risk ratings for the range of hazards within an area. It is an effective way to easily identify the most prominent risks within an area. The Risk Profile is populated by information from the corresponding Safety, Health and Wellbeing Risk Register.

With the information drawn from the register, the hazards are arranged in order of descending risk rating.

Risk Profiles sit alongside each level of risk register as detailed in Section 6.1.

A template Risk Profile is available in the Form - Template Departmental Safety, Health and Wellbeing Risk Register.

## APPENDIX 1 – RISK REGISTER FLOW CHART

