

University Occupational Health and Safety Standard

ROLES, RESPONSIBILITIES and ACCOUNTABILITIES

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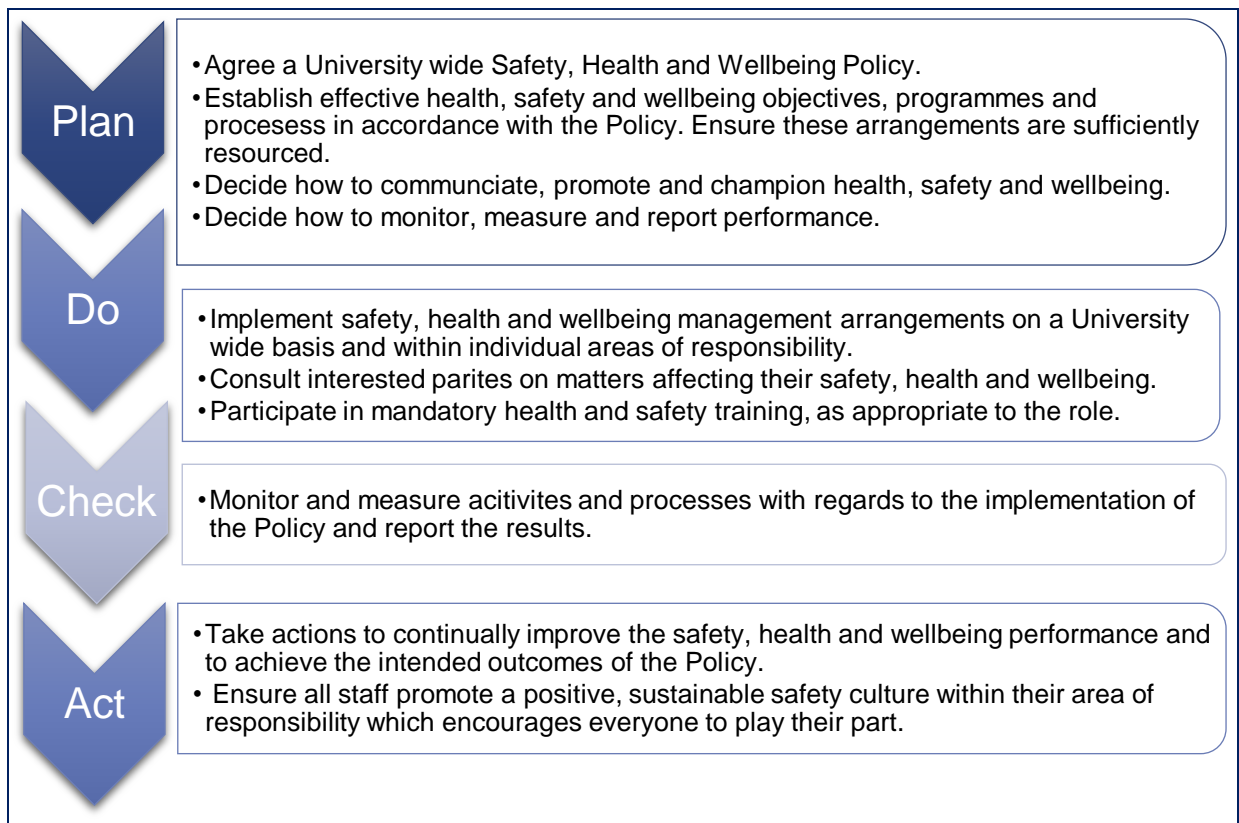
1. PURPOSE

The University has a legal duty under Sections 2 and 3 of the Health and Safety at Work etc. Act 1974, to protect all interested parties engaged with the organisation from the risk of injury and ill health arising from its workplace activities. The Occupational Health, Safety and [Wellbeing Policy Statement](#) (September 2019) and the Occupational Health, Safety and Wellbeing [Strategy 2016-2021](#) support compliance with these duties and underpin the University's Strategic Plan.

The University is committed to meeting its legal duties by ensuring that everyone involved is actively engaged and works in collaboration to optimise safety, health and wellbeing on campus.

For compliance purposes, this document defines the roles, responsibilities and accountabilities necessary to implement the University's Occupational Health, Safety and Wellbeing Policy statement at each level of the organisation. It has been developed in line with the requirements set out in the Health and Safety Executive's document 'Leading Health and Safety at Work' INDG417 (rev1) and the higher education sector guidance document 'Leadership and Management of Health and Safety in Higher Education Institutions' published in 2015 by the Universities Safety and Health Association in partnership with Universities & Colleges Employers Association. Both sets of guidance follow the four-step Plan-Do-Check-Act (PDCA) management model which requires leadership, commitment and participation of all staff from all levels and functions of the University to achieve continual improvement.

The PDCA model is as described below:



This document is also designed to meet the requirements of the ISO 45001:2018 standard for Occupational Health and Safety Management Systems. The University's organisational chart in relation to responsibility for safety, health and wellbeing is summarised in the attached Information Sheet (Section 14, Appendix 5).

2. SCOPE

This OHS Standard applies to every aspect of the University of Strathclyde's business, including all educational, research and knowledge exchange, commercial, residential, recreational and management activities.

This document outlines the safety, health and wellbeing roles, responsibilities and accountabilities for all staff, students and other interested parties engaged with the University, including Court Members and Executive Officers.

Every member of the University community has a responsibility to play their part by fully cooperating and assisting the University to comply with statutory health and safety requirements.

3. ABBREVIATIONS

ADR	Accountability and Development Review
BCM	Business Continuity Management
CoSHH	Control of Substances Hazardous to Health Regulations 2002
DSC	Departmental Safety Coordinator (formerly Convenor)
HoDs	Heads of Department/Services/Schools and Directors of Professional Services
IMT	Incident Management Team
ISO	International Organisation for Standardisation
KPIs	Key Performance Indicators
OHS	Occupational Health and Safety
OHSaW	Occupational Health, Safety and Wellbeing
PI	Principal Investigator
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
SACSOH	Statutory Advisory Committee on Safety and Occupational Health
SHaW	Safety, Health and Wellbeing
SMS	Safety Management System
USCO	University Secretary and Compliance Officer

4. DEFINITIONS

4.1. Competent Adviser and other qualities to enable them to properly fulfil the requirements of the role. is a person who has sufficient training and experience or knowledge

4.2 Departments includes Schools within the Faculty of Humanities and Social Sciences

4.3 Executive Officers includes Executive Deans and Chief Officers (Chief Commercial Officer, Chief Financial Officer, Chief People Officer)

4.4 Faculties includes Strathclyde Business School

4.5 Heads of Department includes Heads of Departments/Schools/Services and Directors of Professional Services

4.6 Interested Parties are any organisation, individual, or group of individuals that may be affected by the University of Strathclyde's activities.

5. ROLES, RESPONSIBILITIES AND ACCOUTABILITIES

5.1 Governance Roles

5.1.1 University Court

As the governing body and employer, University Court, has the overall statutory duty as defined by the Health and Safety at Work etc. Act 1974, associated Health and Safety Regulations and in accordance with the University's Statute 2.1.14 for the safety, health and wellbeing of all interested parties, including staff, researchers, students, visitors, members of the public, third parties, contractors who could be harmed by University's activities, both on and off the University's premises.

Court Members have both an individual and a collective duty to consider the significant safety, health and wellbeing risks faced by the organisation in the course of approving strategy, major capital projects and when making other key business decisions, so far as is reasonably practicable, and to review the University's SHaW performance on an annual basis.

In order to discharge its legal duty, the University Court is expected to:

<p>PLAN</p> <ul style="list-style-type: none"> • Regularly review and approve the University's Occupational Health, Safety and Wellbeing Policy statement (at least annually); • Ensure safety, health and wellbeing matters regularly appear on the agenda of Court meetings and can be raised by members.
<p>DO</p> <ul style="list-style-type: none"> • Seek assurances from the Principal and other Executive Officers that effective safety, health and wellbeing arrangements are sufficiently resourced, implemented and monitored on a university wide basis, and in relation to the University's significant partnerships, collaborations and wholly owned companies; • Ensure the University's emergency planning, business continuity and fire safety arrangements are kept up to date; • Ensure a consultative committee for safety, health and wellbeing matters is convened, chaired by an Executive Officer, and a non-executive member of Court is nominated to sit on the committee and act as an ambassador for safety, health and wellbeing at Court; • Participate in mandatory health and safety leadership training (see Section 11), as appropriate to the role, to ensure a sufficient awareness of legal duties.
<p>CHECK</p> <ul style="list-style-type: none"> • Review the University's safety, health and wellbeing KPI's and performance as presented to Court in the annual SACSOH Report; • Consider reports of any significant issues which concern non-compliance with the University's Occupational Health, Safety and Wellbeing Policy statement; • Consider reports of matters which have the potential to result in regulatory enforcement action and the University's response in relation to these.
<p>ACT</p> <ul style="list-style-type: none"> • Seek assurances that lessons have been learnt following major incidents, accidents and significant near miss events and actions have been fully implemented; • Confirm that regular independent reviews of the University's SMS are conducted and reported on.

5.2. Leadership Roles

5.2.1 University Principal and Vice Chancellor

The University Principal and Vice Chancellor, as the most senior officer of the University, is legally responsible and accountable for securing compliance with the health and safety legal duties placed on the University and for achieving the principal aims of the University's Occupational Health, Safety and Wellbeing Policy statement.

The Principal demonstrates visible leadership and active commitment by ensuring safety, health and wellbeing compliance matters are given the appropriate level of strategic importance and considered in all aspects of the University's undertakings.

The Principal has the authority to take whatever executive action is considered necessary to prevent serious harm to individuals or to the University. In exceptional circumstances, this may include closing down University buildings, sites, operations or activities. In accepting responsibility and accountability for safety, health and wellbeing matters the Principal is expected to:

<p>PLAN</p> <ul style="list-style-type: none"> • In collaboration with the Convenor and members of Court, regularly review and approve the University's Occupational Health, Safety and Wellbeing Policy statement (at least annually); • Ensure safety, health and wellbeing matters regularly appear on the agenda of Executive meetings and can additionally be raised by members.
<p>DO</p> <ul style="list-style-type: none"> • Delegate day-to-day authority for safety, health and wellbeing management to a member of the Executive Team; • Seek assurances from the USCO and other Executive Officers that the principal aims of the University's Occupational Health, Safety and Wellbeing Policy statement are effectively implemented, resourced and monitored on a University wide basis and in relation to the University's significant partnerships, collaborations and wholly owned companies; • Seek assurances that the University's emergency planning, business continuity and fire safety arrangements are kept up to date; • Oversee the convening of the Statutory Advisory Committee on Safety and Occupational Health (SACSOH) to properly consult the University's workforce, particularly trade unions and staff, students and their representatives and appoint an Executive Officer as Chair; • Participate in appropriate mandatory health and safety leadership training (see Section 11) as appropriate to the requirements of the role.
<p>CHECK</p> <ul style="list-style-type: none"> • Critically appraise the University's safety, health and wellbeing KPIs and performance at planned intervals and approve the annual SACSOH report to Court; • Consider reports of any significant issues which concern non-compliance with the University's Occupational Health, Safety and Wellbeing Policy statement and which require direction; • Report to Court any matters which have the potential to result in regulatory enforcement action and the University's response in relation to these.
<p>ACT</p> <ul style="list-style-type: none"> • Seek assurances from the USCO and other Executive Officers that lessons have been learnt following major incidents, accidents and significant near miss events and actions have been fully implemented; • Seek assurances from the USCO that all corrective and preventative actions have been taken in response to independent reviews of the University's SMS.

5.2.2 The Vice Principal

The Vice Principal deputises for the Principal and Vice Chancellor when required.

5.2.3 University Secretary and Compliance Officer

The University Secretary and Compliance Officer (USCO) has delegated authority for leading the University's corporate Safety Management System (SMS) designed to prevent work-related injury and ill health, provide safe and healthy workplaces and activities, and support staff and student wellbeing.

The USCO also oversees safety, health and wellbeing management arrangements and performance in areas within their control, i.e. the Directorate of Strategy and Policy, the Directorate of Student Experience and the Directorate of Enhancement Services, the Safety, Health and Wellbeing Department, the Internal Audit Service and the Office of the Legal Counsel to the University.

In accepting authority, the USCO is expected to:

PLAN

- Ensure the development and approval of a university wide Occupational Health, Safety and Wellbeing Policy statement and an associated corporate SMS to achieve legal compliance, and to meet the objectives of the University's Strategic Plan and the strategic priorities of the Occupational Health, Safety and Wellbeing Strategy. Ensure that the Policy statement is signed by the Convenor of Court and the Principal and Vice Chancellor and is communicated to all interested parties and reviewed at least annually;
- On the advice of the Head of SHaW establish a corporate safety, health and wellbeing risk register and risk profile and review it at least annually;
- Establish a competent, sufficiently resourced corporate Safety, Health and Wellbeing Team to effectively develop, implement, maintain and continually improve the University's corporate SMS;
- Work in collaboration with other Executive Officers to ensure safety, health and wellbeing management arrangements across the University are effectively planned, sufficiently resourced and embedded into the University's business processes; ensuring sufficient consideration is given at the executive level to significant health and safety risks in all business decision making;
- Seek assurances from Executive Officers and senior staff that effective communication and consultation mechanisms are in place to inform all interested parties of the importance of matters affecting their safety, health and wellbeing, including the need to conform to the requirements of the University's corporate SMS and to adhere to emergency response, business continuity and fire safety arrangements.

DO

- Work in collaboration with other Executive Officers and senior staff to implement the principal aims of the University's Occupational Health, Safety and Wellbeing Policy statement on a university wide basis and in relation to the University's significant partnerships, collaborations and wholly owned companies;
- Convene an annual meeting of the Executive Officers to develop a set of corporate SHaW KPIs and to review the University's safety, health and wellbeing strategic priorities (as described in the OHSaW Strategy), the implementation of the Occupational Health, Safety and Wellbeing Policy statement and the continual improvement of OHS performance;
- Convene the University's Statutory Advisory Committee on Safety and Occupational Health (SACSOH), define its terms of reference and act as Chair to ensure the University's community - including staff, trade union representatives, students and their representatives are properly consulted and informed on matters affecting their safety, health and wellbeing. As a minimum requirement, the committee should meet at least three times per year;
- Nominate a suitably qualified Departmental Safety Coordinator to represent the interests of the Professional Services Directorates, not listed below, to sit on the SACSOH. Nominate senior representatives for the following Directorates to sit on SACSOH; Human Resources (HR), Student Experience (SE) and Education Enhancement (EE) and Estate Services;
- Act as the University's named permit holder for specific permitted activities (e.g. Home Office Establishment Licence holder, Scottish Environment Protection Agency (SEPA) Licence holder in relation to activities involving radioactive sources etc.);

- Ensure all statutory reporting requirements are met (i.e. Department for Business, Energy and Industrial Strategy Annual returns);
- Escalate any serious safety, health and wellbeing issues to the Principal and Vice Chancellor where there is need for clear direction and oversee the investigation of major incidents, accidents and significant near miss events;
- Ensure SHaW management arrangements are organised, fully implemented into normal business processes, monitored, audited and reviewed within their areas of operational responsibility;
- Lead the University's Incident Management Team (IMT) and support other executive, directorate and managerial roles to ensure that the University's emergency planning, business continuity, and fire safety arrangements are established, implemented, tested and maintained;
- Participate in appropriate mandatory health and safety leadership training (See Section 11) as appropriate to the requirements of the role.

CHECK

- As Chair of SACSOH, work in collaboration with committee members to review, approve and to set the direction for the University's corporate SMS in line with the requirements of the ISO 45001:2018 Occupational Health and Safety Management Standard;
- As chair of SACSOH, prepare an Annual Report on behalf of the committee for presentation to Court. The report should include an annual appraisal of the corporate SHaW KPIs and a review of SHaW performance in relation to Faculties/Directorates and the University's significant partnerships, collaborations and wholly owned companies as reported by Executive Officers;
- Approve the University's emergency planning and business continuity plans, including fire safety arrangements. Ensure emergency procedures encompass all relevant risks;
- Regularly review safety, health and wellbeing performance in relation to areas of significant risk on campus, such as major capital construction projects and building facilities health and safety reports (including statutory inspections of plant and equipment), and seek assurances that recommendations made in inspection and audit reports have been acted upon;
- Seek assurances from Executive Officers and the Head of SHaW that arrangements are in place to regularly audit health and safety performance both internally and by independent external auditors;
- Conduct regular periodic reviews of the University's corporate SMS to test its continuing suitability, adequacy and effectiveness.

ACT

Seek annual assurances from other Executive Officers and Professional Services Directors to confirm:

- Lessons have been learnt following major incidents, accidents and significant near miss events and actions have been fully implemented;
- All corrective and preventative actions have been closed out in relation to independent reviews of the University's corporate SMS;
- Matters reported by interested parties, i.e. insurance providers, loss adjusters, full-time trade union officials, trade union safety representatives, regulatory bodies and emergency services personnel have been fully addressed;
- All staff and students have received necessary health and safety induction, information and training.

5.2.4 Other Executive Officers (Executive Deans and Chief Officers - CCO, CFO, CPO)

In collaboration with the USCO, the Executive Officers oversee the safety, health and wellbeing arrangements within their areas of responsibility, including oversight of the University's significant partnerships, collaborations and wholly owned companies, as appropriate. They demonstrate active, visible leadership to secure legal compliance as a minimum and promote a positive culture of continual improvement to ensure operational excellence and to meet the requirements of the University's strategic plan and future strategic plans.

The day-to-day authority for managing safety, health and wellbeing is delegated to Heads of Departments/Directors of Professional Services and as such, each Executive Officer is expected to seek regular assurances from their Heads of Department/Directors of Professional Services regarding safety, health and wellbeing performance, which will be reported to the USCO annually.

In accepting authority, Executive Officers are expected to:

PLAN
<ul style="list-style-type: none">• Oversee the establishment of organisational arrangements at Faculty/Directorate level, including where applicable, the appointment of a competent health and safety adviser (i.e. a suitably trained Faculty Manager/Operational Director). This will ensure safety, health and wellbeing arrangements and management systems are effectively planned, organised, controlled, monitored, audited and reviewed in order to comply with all relevant statutory provisions and to meet the requirements of the University's Occupational Health, Safety and Wellbeing Policy statement and the Occupational Health, Safety and Wellbeing Strategy;• Oversee the development and maintenance of the Faculty/Directorate's safety, health and wellbeing risk registers and risk profiles and associated Faculty/Directorate safety, health and wellbeing action plans and ensure the information is reviewed at least annually. Give sufficient consideration to SHaW risks in all key business decision making;• Provide sufficient resources and support for the effective management of safety, health and wellbeing, including funding for HoDs/Directors of Service to attend training and ensure mandatory health and safety training requirements are incorporated into the ADR process;• Seek assurances that effective communication and consultation mechanisms are in place within each Faculty/Directorate to inform all interested parties, including staff, students and their representatives and third parties, visitors and members of the public on matters affecting their safety, health and wellbeing, including significant risks, emergency arrangements, business continuity plans and fire safety arrangements.
DO
<ul style="list-style-type: none">• Support the USCO by overseeing the implementation of the principal aims of the University's Occupational Health, Safety and Wellbeing Policy statement within their areas of responsibility and in relation to the University's significant partnerships, collaborations and wholly owned companies;• Annually review the University's SHaW strategic priorities, in collaboration with the USCO (as described in the OHSaW Strategy) and develop a set of appropriate SHaW KPIs to measure, monitor and report on the implementation of the OHSaW Policy statement and the continual improvement of OHS performance;• Nominate a suitably qualified person to represent each Faculty at SACSOH meetings, this is usually the Faculty's appointed competent person (applicable to Executive Deans);• Convene a Faculty/Professional Services Directorate Safety, Health and Wellbeing Committee to ensure staff are adequately consulted on matters of health and safety, define its terms of reference and chair its meetings. At each meeting HoDs are expected to provide updates on actions from inspections and audits and provide assurances that lessons

have been learnt from inspections, incidents, accidents and significant near miss events. Ideally, the Committee should meet at least three times per year;

- Provide feedback on new and revised OHS Standards to the Head of SHaW during consultation exercises;
- Ensure mechanisms and resources are in place to guarantee health and safety risks are identified, assessed and controlled and where possible eliminated at the earliest stage in the procurement process of plant, equipment and when engaging contractors and service providers, preferably before work commences. This responsibility also applies to Executive Steering Boards in the case of major capital construction projects on campus;
- Escalate any serious safety, health and wellbeing issues to the USCO where there is need for clear direction and provide appropriate assistance with the investigation of major incidents, accidents and significant near miss events;
- Provide assistance to the University's Incident Management Team (IMT) in the event of a major incident, accident or significant near miss event, as required and support other executive, directorate and managerial roles to ensure that the University's emergency planning, business continuity, and fire safety arrangements are communicated established, implemented, tested and maintained;
- Conduct an annual health and safety leadership inspection to gather information regarding compliance with the Faculty/Directorate's safety, health and wellbeing plan aligned to the OHS Standards. Findings should be reported to the Faculty/Directorate's Safety, Health and Wellbeing Committee;
- Ensure mechanisms are in place to monitor, audit and review health and safety performance in line with the Faculty/Directorate's health, safety and wellbeing plan and the University's SHaW KPIs;
- Participate in appropriate mandatory health and safety leadership training (see Section 11) as appropriate to the role.

CHECK

- In collaboration with the USCO, prepare the Annual SHaW Report for presentation to Court. The report should include an annual appraisal of the corporate SHaW KPIs and a review of SHaW performance in relation to Faculties/Directorates and the University's significant partnerships, collaborations and wholly owned companies;
- On an annual basis, approve the Occupational Health, Safety and Wellbeing section, for each department within their scope of responsibilities, contained within the University's Key Control Checklist as a statement of assurance;
- Monitor and review health and safety audit findings, learnings from major incidents, accidents and significant near misses and emerging trends i.e. increased sickness absence rates, ensuring sufficient resources are in place for HoDs/Directors of Professional Services to progress preventative and corrective actions to address non-conformances in a timely manner.

ACT

Seek assurances from HoDs to confirm:

- Lessons have been learnt following major incidents, accidents and significant near miss events and actions have been fully implemented;
- All corrective and preventative actions have been taken in response to independent reviews of each Faculty's SMS;
- Matters highlighted following inspections by external bodies, i.e. insurance providers, loss adjusters, full-time trade union officials, trade union safety representatives, regulatory bodies and emergency services personnel have been fully addressed;
- All staff and students within their area of responsibility have received necessary health and safety induction, information and training.

For the purposes of this document, safety, health and wellbeing matters are assigned to individual Executive Officers by virtue of their role. All Executive Officers (or their nominated representative) report to SACSOH via the Faculty and the Professional Services representatives on SHaW matters specific to their areas of responsibility. These may include the following: *(Please note: The descriptions given in the paragraphs below are intended to highlight some of the University's activities which carry a higher degree of risk, however, they not intended to be exhaustive lists of responsibilities).*

5.2.5 Faculties

Each Executive Dean has delegated authority for the oversight of safety, health and wellbeing arrangements within their own Faculty and in relation to the significant partnerships, collaborations and wholly owned companies which are linked to academic departments, such as the Advanced Forming Research Centre (AFRC), Power Networks Demonstration Centre (PNDC) and the Lightweight Manufacturing Centre (LMC). All stand-alone research centres are expected to align their own SMS to the meet the requirements of this written standard.

5.2.6 Directorates

As noted, each Chief Officer (USCO, CCO, CFO and CPO) has delegated authority for the oversight of safety, health and wellbeing management arrangements in relation to their assigned directorates as follows:

5.2.7 Estates Services Directorate

The nominated Chief Officer has the delegated authority for the oversight of safety, health and wellbeing management arrangements in relation to the University's construction, refurbishment and building maintenance projects, building facilities management, management and maintenance of campus green spaces and the maintenance and inspection of infrastructure (plant, equipment and fixed assets) owned by or under the control of the University.

Specific areas of responsibility include, but are not restricted to:

- asset and property management
- building access control
- campus security
- capital projects
- cleaning
- common parts, facilities and services of the University's estate
- control of documentation and records related to statutory inspections and maintenance of fixed campus assets
- duty holder responsibilities required by specific legislation e.g. fire safety
- environmental and energy management
- Estates Services fleet management
- general waste/hazardous waste management
- grounds
- maintenance of academic and non-academic (residential) buildings
- permit to work systems to control specific high risks, i.e. access to confined spaces and working at height (including roof access), excavations, hot work and work involving high voltage electricity
- portering services
- room bookings/space allocation
- Ross Priory
- safety signage and notices throughout the campus
- statutory inspections of plant, equipment and fixed assets
- Stepps playing fields
- Strathclyde Sport

- The operation of the Technology and Innovation Centre
- the oversight of building facilities management contracts in relation to Innovo, AFRC, LMC and PNDC
- University owned roadways and pathways
- waste management and recycling

In addition, responsibilities also include statutory compliance duties relating to the management of asbestos, the Construction (Design and Management) Regulations (CDM) 2015, fixed electrical safety, events, fire safety infrastructure, food safety and hygiene (in relation to the University's Nourish food outlets), gas safety, legionella management controls, the safe use and maintenance of lifting equipment, pressure vessel systems and the allocation and management of accommodation utilised by third party tenants and spin out companies based on campus.

5.2.8 Marketing and Communications Services Directorate

The nominated Chief Officer has delegated authority for the oversight of safety, health and wellbeing arrangements in relation to travel safety connected with international student recruitment, and in terms of food safety and hygiene and event safety management in connection with the University's conferencing activities, corporate events, graduation ceremonials and formal visits to the University.

5.2.9 Research and Knowledge Exchange Directorate and Industry Engagement Directorate

The nominated Chief Officer has delegated authority for the oversight of safety, health and wellbeing arrangements in relation to significant research and knowledge exchange partnerships, collaborations and wholly owned companies, which are not the responsibility of Faculties or Departments.

5.2.10 Human Resources Directorate

The nominated Chief Officer has delegated authority for ensuring that appointing managers set out health, safety and wellbeing roles, responsibilities and accountabilities within job descriptions, vacancy advertisements and employment contracts. Responsibilities also include communicating to the Head of SHaW when new HoDs are appointed to ensure they receive appropriate OHS induction training and reminding managers to incorporate mandatory health and safety training requirements and development needs into the annual ADR process. This will ensure staff have the necessary training, skills, knowledge to enable them to competently discharge their duties.

The nominated Chief Officer oversees the effective monitoring the performance of the Employee Assistance Programme, by ensuring sickness absence data is collated and by contributing to the delivery of the Workplace Mental Health Action Plan which forms part of the University's Thrive@Strathclyde Programme.

5.2.11 Finance Services Directorate

The nominated Chief Officer has delegated authority for ensuring that procurement processes and staff expenses claim procedures support legal compliance and meet the requirements of the University's OHS Standards.

5.2.12 Other Responsibilities

As described by the University's organisational chart, the USCO and Executive Officers have authority for the safety, health and wellbeing arrangements within other professional services directorates, including Continuous Improvement (CPO) and Information Services (CFO) and the Safety, Health and Wellbeing Department, the Internal Audit Service and the Office of the Legal Counsel to the University (USCO).

5.3 Senior Management Roles

5.3.1 Heads of Departments/Services/Schools and Directors of Professional Services

Day-to-day authority and accountability for operational safety, health and wellbeing management and implementation of the University's OHS Standards is delegated from Executive Officers to Heads of Department/Services/Schools and Directors of Professional Services (HoDs).

HoDs ensure a health and safety culture of openness and awareness exists within their areas of responsibility, where staff and students have the confidence to speak out and get involved in ensuring that issues are quickly and effectively resolved. The overall objective is to ensure a safe and healthy environment for all interested parties engaged with the University and full compliance with health and safety legal requirements. Continual improvement of performance within their areas of responsibility is achieved by the effective delivery of objectives established within individual departmental safety, health and wellbeing action plans.

HoDs are supported in their role by staff within each department/directorate such as PIs/supervisors, Technicians, operational managers, and DSCs etc.

In accepting authority, HoDs are expected to:

PLAN

- Establish and maintain suitable operational arrangements at Departmental level, (see *Local Rule: Departmental OHS Management Model Arrangements*) including where applicable the delegation of authority to one or more competent health and safety advisers (e.g. a suitably trained Departmental Manager/Operational Director), to ensure safety, health and wellbeing arrangements and management systems are effectively planned, organised, controlled, monitored, audited and reviewed in order to comply with all relevant statutory provisions and the University's OHS Standards;
- Oversee the development and maintenance of a departmental health and safety risk register and risk profile and associated departmental safety, health and wellbeing action plans and ensure the documentation is reviewed at least annually. Ensure the departmental plan is aligned to the Faculty/Directorate plan and give sufficient consideration to the safety, health and wellbeing risks along with key business risks in decision making;
- Provide sufficient resources and support for the management of operational safety, health and wellbeing matters, in particular appoint a DSC and Depute DSC and recruit additional voluntary health and safety roles as required, i.e. trained first-aiders, fire safety co-ordinator/marshalls, a radiation protection supervisor, a DSE coordinator etc. to implement the University's OHS Standards and procedures, ensuring they are consulted on via regular meetings;
- Allocate adequate funding and time away from normal duties for appointed persons to attend training and to fulfil the requirements of their safety, health and wellbeing role. Use the ADR process to ensure management arrangements and mandatory health and safety training requirements are assigned by position or role to operational managers and supervisory staff;
- Ensure effective communication and consultation mechanisms are in place within each department to inform all interested parties, including staff, students and their representatives, third parties, visitors and members of the public on matters affecting their health and safety including the significant risks, emergency arrangements, business continuity plans and fire safety arrangements.

DO

- Work in collaboration with other HoDs to implement the University's OHS Standards at a departmental level and in relation to the University's significant partnerships, collaborations and wholly owned companies. Where premises are shared, use cooperation, communication and coordination to denote, discuss and agree OHS responsibilities in keeping with statutory requirements;
- Convene a Departmental Safety, Health and Wellbeing Committee to ensure staff are adequately consulted on matters of health and safety, define its terms of reference and chair its meetings. The Committee should ensure a consistent approach to the implementation of the University's OHS Management Standards, provide an opportunity to share OHS best practice, monitor progress of actions from audits and ensure lessons are learnt from inspections, incidents, accidents and significant near miss events. Ideally, the Committee should meet at least three times per year;
- Maintain regular communication with the corporate SHaW team and provide feedback on new and revised OHS Standards to the Head of SHaW during consultation exercises;
- Work in partnership with the corporate SHaW team, DSCs and nominated departmental risk assessors to ensure a programme of risk assessments is planned, prioritised and implemented so that all significant workplace hazards and associated risks are identified, assessed and controlled and where possible eliminated in a proportionate manner. All risk assessments should be reviewed on a regular basis to prevent injury and ill health. This includes assessing risks at the introduction stage of new or modified research proposals, at the earliest stage in the procurement process for goods, equipment and services and before work commences when engaging contractors and service providers;
- Consider the level of management and supervision required for each task according to its complexity and level of risk and give approval to high risk activities, such as overseas field trips;
- Promote the importance of reporting accidents, incidents, near misses and cases of work-related ill-health to staff and students, visitors etc.;
- In liaison with the Head of SHaW, oversee the timely investigation of departmental related incidents, accidents, near miss events and cases of work-related ill-health in order to comply with the requirements of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013 and approve investigation reports;
- Address any significant breaches of health and safety compliance immediately and elevate where necessary any serious safety, health and wellbeing issues, to the Executive Officer where there is need for clear direction, including those involving contractors;
- Provide assistance to the University's IMT in the event of a major incident, accident or significant near miss event or as part of a test exercise as required;
- Ensure that the departmental emergency planning, business continuity and fire safety arrangements (including Personal Emergency Evacuation Plans - PEEPS) are established, implemented, communicated and maintained;
- Conduct health and safety leadership inspections to gather information regarding compliance with the department health, safety and wellbeing plan. Findings should be reported to the Departmental Health, Safety and Wellbeing Committee;
- Ensure mechanisms are in place to monitor (using inspection, health surveillance, incident and accident and work-related ill-health reports), audit and review OHS performance in line with the Departmental Health, Safety and Wellbeing Plan and agreed University Health, Safety and Wellbeing KPIs. Ensure sufficient resources are in place to progress preventative and corrective actions to address non-conformances in a timely manner;
- Establish an effective process to identify training and competency needs for all staff including the need to complete the mandatory OHS induction and other specific OHS training requirements;

<ul style="list-style-type: none"> • Ensure that where the need for health surveillance is identified in a risk assessment, staff within their area of responsibility are referred to the University's Occupational Health Service and attend health surveillance appointments when required to do so; • Make reasonable workplace adjustments for staff as advised by the Occupational Health Service; • Participate in appropriate mandatory health and safety management training (see Section 11) as appropriate to the role;
<p>CHECK</p> <ul style="list-style-type: none"> • Provide a written annual OHS report to the Executive Officer for all departmental activities, including significant partnerships, stand-alone entities and wholly owned companies, in relation to compliance with the Departmental Health, Safety and Wellbeing Plan; • Complete the Occupational Health, Safety and Wellbeing section of the Key Controls Checklist as a statement of assurance to the Executive Officer; • Review the department's emergency planning and business continuity plans, including fire safety arrangements for effectiveness. Ensure emergency procedures encompass all relevant risks; • Monitor and review health and safety audit findings, learnings from major incidents, accidents and significant near misses and emerging trends i.e. increased sickness absence rates, ensuring sufficient resources are in place for Assistant Directors, Operational Managers and DSCs to progress preventative and corrective actions to address non-conformances in a timely manner.
<p>ACT</p> <p>Seek assurances from Assistant Directors, Operational Managers and DSCs to confirm:</p> <ul style="list-style-type: none"> • Lessons have been learnt following major incidents, accidents and significant near miss events and actions have been fully implemented; • All corrective and preventative actions have been taken in response to independent reviews of the University's SMS; • Matters highlighted following inspections by external bodies, i.e. insurance providers, loss adjusters, full-time trade union officials, trade union safety representatives, regulatory bodies and emergency services personnel have been fully addressed; • All staff and students within their area of responsibility have received necessary health and safety induction, information and training.

5.3.2 Director of Estate Services

In addition to the duties described under the Heads of Department/Service/School and Directors of Service section, the Director of Estates is accountable to the relevant Chief Officer for ensuring safety, health and wellbeing arrangements and management systems as they apply to all work undertaken by staff within Estate Services or under its auspices. This would include the majority of work undertaken by external contractors involving premises owned by the University or under its control. All contracted activities should be effectively planned, organised, controlled, monitored, audited and reviewed in order to comply with the requirements of the relevant statutory provisions with regards to health, safety, fire and emergency arrangements, the University's OHS Standards and the Estate Service's SMS.

The Director of Estates is also responsible for ensuring the fabric of all University buildings, and fixed installations fitted therein, are regularly inspected, managed and maintained so that the built estate is fit for its intended purpose, complies with current legislation and provides a safe and secure environment for all users.

The Director of Estates is supported by Estate Services Assistant Directors, the Estates Health, Safety and Compliance Manager, DSCs, Project Managers, Building Surveyors, Clerks of Work, Heads of Sections, as well as the Head of SHaW and the corporate SHaW Advisory Team, to fulfil their responsibilities, duties and reporting requirements.

The Director of Estates reports to SACSOH as a management representative on the performance of the Estates Service's SMS, any significant contractor health and safety issues, incidents and matters of non-compliance, the status of major capital projects and future building/maintenance plans which are likely to impact on the safety, health and wellbeing of others.

In accepting authority, the Director of Estates is expected to:

PLAN
<ul style="list-style-type: none"> • Make adequate arrangements, including engaging suitable competent health and safety advice, to fully consider the design, planning and management phases of all construction, maintenance, renovation, refurbishment and upgrading works, as required by Construction (Design and Management) (CDM) Regulations 2015. This should include procedures to effectively scrutinise contractors at tendering stage, methods to ensure contractors are sufficiently inducted before work commences and management arrangements during the duration of the contract. The Director of Estate Services acts as the Client's representative (The 'Client' being the University) in terms of all construction projects carried out under the CDM Regulations; • In accepting the delegated 'duty to manage' under the CDM Regulations, appoint competent specialist advisers as required by specific legislation, e.g. management of asbestos, fire regulations, and control of legionella, LOLER etc.; • Ensure the University's Built Estate Maintenance Strategy is sufficiently resourced to minimise disruption as a result of unforeseen major defects or component failures which may adversely impact of the safety, health and wellbeing of building users and interrupt the delivery of the University's core business activities; • Develop and maintain effective working relationships with key stakeholders including the Head of SHaW, encouraging frequent communication and flow of information on relevant estate issues to ensure staff, trade union representatives, students, and third parties are adequately informed on matters affecting their health and safety and their work activities. Information should include planned temporary works, permanent changes to building facilities, plant and equipment and all contracted activities and operations on campus including major construction projects.
DO
<ul style="list-style-type: none"> • Ensure that the common parts, facilities and services of the University's estate are adequately risk assessed and maintained in a planned preventative manner to provide a safe and secure environment, without risks to the safety, health and wellbeing of those engaged with the University including visitors and members of the public; • Use a risk assessed, collaborative process for space planning which meets the statutory provisions placed on the University (i.e. The Workplace (Health, Safety and Welfare) Regulations, Building Regulations (Scotland) 2004 (Non-domestic), and the Equality Act of 2010 plus others), and which anticipates future needs and which fosters positive staff and student interaction and engagement; • Ensure all relevant statutory notifications are made, including those for construction projects as stipulated by the Construction (Design and Management) Regulations 2015 and work carried out which involves asbestos (both notifiable and non-notifiable work as required). All notifications should be shared with the Head of SHaW for purposes of monitoring, and other interested parties that may be affected by the work; • Establish a management system to organise, implement and maintain the recommendations and improvements identified by fire risk assessments based on the degree of risk;

<ul style="list-style-type: none"> Where third parties, contractors or research and knowledge exchange partners occupy the University's premises, take appropriate measures to ensure full cooperation and coordination of all interested parties, ensuring roles and responsibilities are defined and all risks properly managed so there is no adverse impact from their activities on the staff and students of the University.
CHECK
<ul style="list-style-type: none"> Regularly review OHS performance in relation to areas of significant risk on campus, such as major capital construction projects and building facilities health and safety reports (including statutory inspections of plant and equipment), and seek assurances from Assistant Directors that recommendations made in inspection and audit reports have been acted upon; Provide a written annual OHS assurance statement to the USCO, which should include an appraisal of the OHS performance of the University's construction and maintenance contractors based on periodic reviews of risk assessments, sample audits, site inspections and feedback from project progress meetings. It should also include significant incidents, accidents and near miss events.
ACT
<p>Seek regular assurances from Heads of Sections to confirm:</p> <ul style="list-style-type: none"> Students, staff and members of the public visiting the University are protected from the risks of construction work; Actions arising from audits, inspections, statutory notifications and risk assessments (including fire risk assessments) have been implemented.

5.3.3. Head of Safety, Health and Wellbeing

In addition to the duties described under the Heads of Department/Service/School and Directors of Service section, the Head of Safety, Health and Wellbeing (SHaW) is the University's recognised competent health and safety adviser at the corporate level and reports directly to the USCO. The appointment of a 'competent person' is a statutory requirement (The Management of Health and Safety at Work Regulations 1999) and must be someone with the necessary skills, knowledge and experience to manage health and safety matters effectively.

In accepting authority as the competent person, the Head of SHaW is expected to:

PLAN
<ul style="list-style-type: none"> Oversee the development and review of the University's Occupational Health, Safety and Wellbeing Policy on behalf of the USCO, and associated annual objectives for the corporate SHaW team. Ensure the OHSaW strategy is aligned to the University's strategic plan; Establish an Occupational Health Service to ensure statutory activities such as health surveillance, advice on reasonable adjustments, sickness absence monitoring, referrals for work related issues or personal issues which impact on work and health promotion take place to support the continued attainment of a safe, healthy work and study environment; Develop and maintain effective working relationships with key stakeholders including the Executive Deans, Professional Services Directors, HoDs, with regulatory bodies, emergency services, the University's insurers, trade union and staff safety representatives, local councils, NHS Scotland and other internal and external interested parties. Encourage frequent communication and flow of information to ensure staff, trade union representatives, students, and third parties are adequately informed on matters affecting their safety, health and wellbeing.

DO

- Establish, implement, maintain and continually improve the University's corporate SMS, in accordance with the ISO 45001:2018 standard, statutory requirements and sector specific guidance;
- Establish a corporate health and safety risk register and risk profile and assist the USCO to review it at least annually;
- Appoint and direct suitably competent, effective assistance to advise the University on specialist statutory requirements associated with radiation, fire, chemical and biological safety and occupational health. This includes the appointment of a Radiation Protection Adviser to ensure compliance with statutory registration and authorisation conditions;
- Through benchmarking and sector networking, continually improve the University's corporate health and safety management system to ensure it is accredited, robust and properly maintained;
- Report to SACSOH as an Ex-Officio Member and attend Faculty and Departmental safety, health and wellbeing meetings (or nominate others to attend) to provide competent health and safety advice and legal updates on relevant matters to Executive Officers and HoDs;
- Advise senior management on the continual improvement of the corporate SMS and methods for implementation;
- Provide advice and guidance to HoDs on how to investigate incidents, accidents and significant near miss events;
- Act as the primary contact for the Health and Safety Executive (HSE), the Scottish Environment Protection Agency (SEPA) and other relevant organisations on health and safety regulatory matters;
- Develop and deliver a safety, health and wellbeing competency framework to ensure staff are sufficiently trained to discharge their health, safety and wellbeing duties. This includes preparing and delivering appropriate OHS induction training to newly appointed HoDs;
- Act as a member of the core IMT and provide the Chair with health and safety advice to inform strategic decisions in the event of a major incident and oversee the BCM programme established by the Risk and Resilience Manager;
- Plan, establish, implement and maintain the University's Health and Safety Audit Programme and review findings from other monitoring activities including health surveillance, occupational hygiene monitoring, safety inspections and fire drill exercises. Report in summary the significant findings of these activities to SACSOH.

CHECK

- Provide an annual written SHaW assurance statement to the USCO, which should include an analysis of all University incidents, accidents, near misses and occupational ill-health data and an appraisal of the University's corporate SMS;
- On an annual basis evaluate the Key Control Checklist assurance statements relating to Occupational Health, Safety and Wellbeing and report the findings to SACSOH;
- Support the USCO to conduct periodic reviews of the University's corporate SMS to test its continuing suitability, adequacy and effectiveness.

ACT

- Stop work activities immediately, which present a risk of serious harm to individuals or to the University. In exceptional circumstances, this may include issuing an internal Zero Harm Notification Report to prevent serious personal injury and/or damage to buildings, plant, equipment and the environment;
- Undertake regular CPD training and development to maintain a sufficient level of competency to fulfil the requirements of the post.

5.3.4 Head of the Internal Audit Service

The Head of the Internal Audit Service is responsible for conducting an independent annual health and safety assurance survey as part of the Key Controls Checklist process. The checklist is issued to HoDs during May each year and a summary of the findings is presented to the Head of SHaW.

5.3.5 Head of Governance and Public Policy

The Head of Governance and Public Policy assists the University Principal and Vice-Chancellor and the USCO by arranging appropriate health and safety leadership training for Court and Executive Officers.

In order to establish an effective 'downward' communication system, the Head of Governance and Public Policy cascades minutes of Executive Team meetings, which contain safety, health and wellbeing related actions to relevant members of staff as necessary.

5.4 Operational Management Roles

5.4.1 Research Line Managers and Supervisory Staff

Principal Investigators/Research Managers/Research Supervisors

Principal Investigators (PIs)/Research Managers or Research Supervisors 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 and accountable to the HoD for the safety, health and wellbeing of their researchers, and for others who may be affected by the research activities under their control.

The PI, Research Manager/Supervisor is expected to understand and implement the requirements of the University's OHS Standards, as well as the departmental safety, health and wellbeing arrangements. All research managers/supervisors must be competent to supervise staff/students, and know the safety critical aspects of the tasks involved.

In accepting authority, they are expected to:

PLAN

- Establish operational arrangements relevant to the expected risks associated with the research being undertaken and/or the work area being utilised;
- Ensure effective methods of communication are in place, such as regular health and safety meetings, to ensure researchers are adequately consulted on matters affecting their safety, health and wellbeing;
- Become familiar with the support available within the department to assist with the implementation of the University's OHS Standards and the departmental OHS arrangements and guidelines, i.e. the DSC, the Depute DSC and additional departmental voluntary health and safety staff such as first aiders, fire safety coordinators/assistants, the radiation protection supervisor etc.;
- Ensure that they and the researchers they supervise, are competent to conduct the research work being undertaken and participate in mandatory and recommended OHS training and necessary refresher training, as set out in the applicable University's OHS Standard (currently under development);
- Ensure a comprehensive risk management system is in place for all research/workplace hazards. This should take into account the use of hazardous substances, lone working or fieldwork, so that all associated significant risks are sufficiently identified, assessed and controlled. Where possible risks should be eliminated in a proportionate manner and risk assessments should be regularly reviewed to prevent injury and ill health;
- Ensure research supervisors and post-doctoral researchers are trained in risk assessment techniques and are competent to supervise others in their research activity;

<ul style="list-style-type: none"> • Ensure risk assessments are conducted at the introduction stage of a new or modified research proposal, and before purchasing equipment, or introducing new processes etc.; • Ensure all appropriate licences and permits are in place for any proposed project before applying for a research grant or adopting an experimental protocol; • Ensure effective communication mechanisms and arrangements are in place within the research area to inform researchers, students, contractors, third-parties, visitors and members of the public in the event of an emergency.
<p>DO</p> <ul style="list-style-type: none"> • Approve risk assessments for activities within their research area; • Refer researchers to the University's Occupational Health Service where health surveillance is identified by risk assessment; • Implement OHS Standards relevant to their research area; • Ensure all health and safety incidents, accidents, near miss and cases of work-related ill health are reported to the HoD and DSC; • Provide assistance to the Head of Department in the event of a major incident, accident or significant near miss event as required; • Participate in appropriate mandatory health and safety training.
<p>CHECK</p> <ul style="list-style-type: none"> • Monitor workplace safety compliance to ensure that control measures are effectively implemented; • Participate in the investigation of reported incidents, accidents and significant near miss events within the work area they supervise; • Monitor the progress of actions arising from audits and inspections relevant to their research area; • Monitor training plans and safety inductions of their researchers to ensure that they remain current.
<p>ACT</p> <ul style="list-style-type: none"> • Adopt corrective and preventative actions to prevent a reoccurrence of reported incidents, accidents and significant near miss events within their area of responsibility; • Take action to rectify deficiencies such as unsafe acts or conditions, failure to follow safe systems of work, a lack of planned maintenance or inadequate facilities, or otherwise reporting to their DSC or line manager.

5.4.2 Post-doctoral Researchers/Research Fellows/Technicians

Post-doctoral researchers, other researchers such as Research Fellows and Technicians may be delegated day-to-day supervisory responsibility for ensuring research is carried out without causing unacceptable risks to health and safety.

Post-doctoral researchers/Research Fellows/Technicians should be competent in the research area and aware of the risks inherent in the techniques, equipment and methods they use; they ensure the effective implementation of controls identified as part of the risk assessment process.

They should be:

- Effective supervisors – supportive, good at coaching and mentoring, excellent role models and take appropriate actions when made aware of health and safety management deficiencies;
- Trained to carry out risk assessments and communicate information on risks and control measures to their researchers and others affected by the research;
- Aware of the University's OHS Standards and comply with local departmental safety arrangements;

- Trained to use safe laboratory and work practices as well as safe systems of work and reinforce the importance of good housekeeping and occupational hygiene;
- Report all health and safety incidents, accidents and near miss events to their line manager;
- Able to contribute to the investigation of accidents and near misses that have affected their research teams.

5.4.3 Professional Services Line Managers and Supervisors

Line managers and supervisors are responsible and accountable to the HoD and are expected to have an up-to-date knowledge of the risks associated with the work under their control.

In accepting authority, they are expected to:

<p>PLAN</p> <ul style="list-style-type: none"> • Be aware of the legal requirements for their area of work and be able to identify and manage these risks; • Ensure line management reports are held responsible for following safe working practices and overall health and safety performance of their area; • Ensure a comprehensive risk management system is in place so that all associated significant risks are sufficiently identified, assessed and controlled and where possible eliminated. Risk assessments should be regularly reviewed to prevent injury and ill health; • Ensure relevant trained staff assess the risks associated with work activities before work begins and are competent to supervise others; • Ensure all people under their direction have adequate information about the risks and risk controls that apply to their work, and that relevant training and supervision arrangements are in place; • Ensure new recruits and existing staff participate in mandatory OHS induction, OHS training and necessary refresher training as set out in the applicable University OHS Standard; • Take into account a staff members capabilities and level of competency before assigning tasks.
<p>DO</p> <ul style="list-style-type: none"> • Approve risk assessments for activities within their area of responsibility; • Refer employees to the University's Occupational Health Service where health surveillance is identified by risk assessment; • Implement OHS standards and positive, proactive safety in the workplace; • Hold staff and students accountable for their safe working practices when undertaking work within their area of responsibility; • Ensure all health and safety incidents, accidents, near miss and cases of work related ill health are reported to the HoD and DSC; • Identify OHS staff training needs and include health and safety performance as part of the ADR process; • Participate in appropriate health and safety leadership training as appropriate to the role
<p>CHECK</p> <ul style="list-style-type: none"> • Actively participate in workplace OHS inspections and audits; • Monitor workplace safety compliance to ensure that control measures are effectively implemented; • Participate in the investigation of reported incidents, accidents and significant near miss events within the work area they manage/supervise; • Monitor the progress of actions arising from audits and inspections relevant to their area of responsibility;

<ul style="list-style-type: none"> • Monitor training plans and safety inductions for employees to ensure that they remain current.
ACT <ul style="list-style-type: none"> • Adopt corrective and preventative actions to prevent a reoccurrence of reported incident, accidents and significant near miss events within their area of responsibility; • Take action to rectify deficiencies such as unsafe acts or conditions, failure to follow safe systems of work, a lack of planned maintenance or inadequate facilities, or otherwise reporting to their DSC or line manager.

5.5. Compliance Support Roles

5.5.1 Safety, Health and Wellbeing Advisory Team

The SHaW Advisory Team is led by the Head of Safety, Health and Wellbeing and reporting to the USCO, is responsible for ensuring that Executive Officers, HoDs and DSCs are aware of the requirements of existing and proposed health and safety legislation. The Team supports the Head of SHaW to monitor, measure and continually improve the effectiveness of the University’s corporate SMS thus ensuring the necessary arrangements are implemented and maintained across the organisation.

The SHaW Advisory Team is expected to:

PLAN <ul style="list-style-type: none"> • Develop and maintain a corporate SHaW Risk Register and Risk Profile; • Develop health and safety action plans to address the most significant corporate health and safety risks as identified by the corporate health and safety risk register and profile; • Develop and maintain effective working relationships with key stakeholders including HoDs, regulatory bodies, emergency services, the University’s insurers, trade union and staff safety representatives, local councils, NHS Scotland and other internal and external interested parties.
DO <ul style="list-style-type: none"> • Provide competent advice and support to HoDs and other health and safety related posts on the interpretation and implementation of University OHS Standards, health and safety legislation and practical advice on how to gain improvements in performance; • Review and update arrangements for implementing the OHS Policy statement including written OHS Standards; • Provide specialist competent advice to HoDs as necessary in relation to radiation, biological, chemical, fire safety and occupational health; • Keep up-to-date with relevant health and safety legislation and best practice and providing regular updates to Heads of Department and DSCs as appropriate; • Maintain and develop the University’s safety, health and wellbeing webpages to ensure all interested parties have access to information and instructions relating to safety, health and wellbeing; • Attend and support Departmental/Directorate Health and Safety Committee meetings; • Communicate lessons learnt following safety incidents to HoDs and DSCs and any changes to relevant legal requirements; • Establish networks and forums for exchange of good practice and collaborate with the Occupational Health Service, Estates Services, HR and SEES and other professionals; • Administer the University’s incident reporting system, reviewing its data and support the Head of SHaW to investigate significant incidents, accidents, near miss events and cases of work-related ill-health to determine root causes. Submit reports on behalf of the Head of SHaW to the HSE under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013;

<ul style="list-style-type: none"> • Support HoDs and DSCs to address any significant breaches of health and safety compliance immediately and elevate where necessary any serious health, safety and wellbeing issues, to the Head of SHaW where there is need for clear direction, including those involving contractors; • Provide guidance to HoDs and DSCs on how to investigate incidents, accidents and near miss events; • Liaise with the HSE, SEPA and other relevant organisations on health and safety regulatory matters; • Continually improve the University's corporate SMS by introducing digital solutions to support greater staff engagement and reporting; • Develop and maintain the University's business continuity/emergency response policy and associated plans to ensure the University is fully prepared to manage a major incident; • Lead and develop an annual health, safety and wellbeing promotion and campaign programme to retain the NHS Scotland Healthy Working Lives Gold Award and to raise awareness of specific safety, health and wellbeing issues; • Develop and assess fire safety arrangements and test procedures for effectiveness; • Support the agenda for wellbeing, protecting health at work and ensuring occupational health issues are effectively managed, including occupational hygiene monitoring to satisfy the Control of Substances Hazardous to Health Regulations 2002; • In consultation with stakeholders support high levels of engagement and competency by developing, organising, delivering and evaluating the corporate health, safety and wellbeing training programme for staff; • Undertake regular CPD training and development to maintain a sufficient level of competency.
<p>CHECK</p> <ul style="list-style-type: none"> • Provide the Head of SHaW with regular performance monitoring reports set against KPIs, audit findings, insurance reports escalation of significant incidents, benchmarking against other sector institutions and regular Executive Team briefings; • Conduct and coordinate Health and Safety audits and other monitoring activities including health surveillance, occupational hygiene monitoring, safety inspections and fire drill exercises. Report significant findings to the Head of SHaW; • Assist HoDs and DSCs during external audits and inspections; • Maintain an information governance management system to ensure all corporate SHaW documentation and records are factually correct, accurate and appropriately stored and can be easily accessed by members of staff and others engaged with the University.
<p>ACT</p> <ul style="list-style-type: none"> • Maintain a mechanism for controlling and implementing the review and revision of OHS Standards.

5.5.2 Occupational Health Service

The Occupational Health Service consists of a number of specialist nurses, whose aim is to support managers to achieve their statutory duties to protect and promote the health, safety and wellbeing of University staff.

The Occupational Health Services Team supports the Occupational Health Physician who acts as the clinical lead for occupational health at the University and is appointed by the Head of SHaW.

The Occupational Health Physician provides expert advice on the following matters:

- The scientific assessment and guidance on the safety, workplace health and welfare of staff;

- The provision of health assessments and health surveillance of staff exposed to health hazards at work as identified via risk assessment;
- The rehabilitation and recommended changes to work for staff with temporary or permanent disabilities.

5.5.3 Faculty/Professional Services Safety, Health and Wellbeing Managers/Advisers (or equivalent)

Each Executive Officer appoints (as appropriate to the size and scale of the risk) a Faculty/Professional Services Safety, Health and Wellbeing Manager/Adviser or equivalent, to provide competent health and safety advice and support. As a senior member of the Faculty/Professional Services management the role involves leading on safety, health and wellbeing matters, maintaining up-to-date arrangements to implement the University's Occupational Health, Safety and Wellbeing Policy Statement and monitoring its performance.

The role ensures that safety, health and wellbeing risks and issues are considered in all business decisions made within each Faculty/Professional Services Directorate.

The Faculty/Professional Services Safety, Health and Wellbeing Managers/Advisers (or equivalent) are expected to:

PLAN

- In conjunction with the Executive Officer/Directors and HoDs, assist with the development of a faculty/professional services risk register and risk profile, identifying any gaps which need addressed and regular review documentation;
- Assist the relevant Executive Officer to develop suitable management arrangements and a safety, health and wellbeing plan to comply with the University's OHS Standards and to address the most significant health and safety risks as identified by the risk register and profile;
- Lead on the Faculty/Professional Services Safety, Health and Wellbeing Plan, the development of procedures and the establishment of performance standard to support continual improvement;
- Develop and maintain effective working relationships with interested parties including the corporate SHaW team, HoDs, regulatory bodies, emergency services, the University's insurers, trade union and staff safety representatives, local councils, NHS Scotland and other internal and external interested parties. Attend Departmental Safety Committee meetings as required.

DO

- In collaboration with HoDs and DSCs within each Faculty or Directorate, develop and establish a robust system for the identification and control of all hazards and risks within the department, collate data and monitor performance;
- Provide competent advice and support to HoDs and other health and safety related posts within the Faculty/Professional Services Directorate on the interpretation and implementation of University OHS Standards and practical advice on how to gain improvements in performance;
- Guide and support Executive Officers to ensure risks are appropriately assessed, monitored, recorded and managed appropriately;
- Keep up-to-date with relevant health and safety legislation and best practice and provide regular updates to Executive Officers, HoDs and DSCs as appropriate;
- Coordinate the Faculty/Professional Safety, Health and Wellbeing Committee meeting, supporting the Executive Officer as Chair, to ensure risks and issues are discussed and appropriate decisions made and implemented;

- Provide feedback on new and revised OHS Standards to the Head of SHaW during consultation exercises;
- Establish networks and forums for exchange of good practice;
- Ensure all incidents, accidents and near misses related to Faculty/Professional Services staff have been reported to the SHaW team and investigated timeously by the relevant HoD in conjunction with the DSC, and recommendations are implemented to prevent recurrence. Completed investigation reports should be submitted to the SHaW team in a timely manner to ensure compliance with RIDDOR Regulations;
- Escalate any Faculty/Professional Services SHaW issues to their Executive Officer as necessary;
- In collaboration with Departmental Business Continuity Coordinators, develop and maintain the business continuity/emergency response plans and associated documents to ensure each Faculty/Professional Services Directorate is fully prepared to manage a major incident;
- Lead initiatives to share and promote health and safety best practice within the Faculty/Professional Services Directorate to facilitate continual improvement. These initiatives may be led and supported by the Faculty/Professional Services Safety, Health and Wellbeing Manager/Adviser or equivalent, on behalf of the Executive Officer as appropriate;
- Assist the University's Fire Safety Adviser to assess and implement fire safety arrangements and test procedures for effectiveness within areas of responsibility;
- In collaboration with HoDs within each Faculty/Professional Services and the SHaW team, support high levels of engagement and competency by developing, organising and evaluating specific health, safety and wellbeing training courses for staff;
- Identify OHS induction and training requirements for staff, visitors, contractors and third parties and deliver suitable training to meet those needs. Ensure records are maintained as required;
- Setting up a programme to allow their Executive Officer to monitor OHS performance against University OHS standards as well as the Faculty/Professional Services Safety, Health and Wellbeing Plan to include, for example, workplace inspections and the fulfilment of induction and training needs of staff and students;
- Promote a climate in which safety has a high priority, and where individuals are clear about their responsibilities and safety objectives;
- Contribute to the retention of the NHS Scotland Healthy Working Lives Gold Award by promoting University wellbeing campaigns in the Faculty/Professional Services Directorate and acting as an ambassador for health and wellbeing;
- Undertake regular CPD training and development to maintain a sufficient level of competency.

CHECK

- Provide the Executive Officer with regular performance monitoring reports set against KPIs, audit findings, training data, escalation of significant incidents, benchmarking against other sector institutions;
- Carrying out periodic inspections and audits of the Faculty/Professional Services Directorate and of departments to examine the effectiveness of the management arrangements and risk controls for health and safety;
- Oversee other monitoring activities including health surveillance and occupational hygiene monitoring. Maintain an information governance management system to ensure all Faculty/Directorate OHS documentation and records are factually correct, accurate and appropriately stored and can be easily accessed by members of staff and others engaged with the University;
- Contribute to SACSOH by presenting papers, reports, and information as requested by the Executive Officer, progressing any actions arising and provide suggestions for improvement.

ACT

- Maintain a mechanism for controlling and implementing the review and revision of Faculty/Directorate health, safety and wellbeing management arrangements.

5.5.4 Estates Services Health, Safety and Compliance Manager

The Estates Health, Safety and Compliance Manager is the named 'competent' person in relation the work activities undertaken by or under the control of Estate Services, and has a leading role in assisting the Director of Estates Services to achieve compliance. Working closely with senior management and Heads of Sections within Estates Services, and the SHaW Team, their role is to encourage an operational culture in which safety has a high priority, is regularly promoted and where individuals are clear about their roles, responsibilities and objectives. Although accountable through the Assistant Director Operations to the Director of Estates, they act as an independent and objective body to review and evaluate issues and risks within the Estates Services Directorate. The functions of the role are very similar to those of the Faculty Safety, Health and Wellbeing Manager/Adviser.

In addition, they oversee and monitor statutory examinations and testing of plant and equipment in relation to local exhaust ventilation, legionella management controls, LOLER inspections, pressure vessel systems etc. within the prescribed timescales (please note this not an exhaustive list). Copies of reports containing significant issues and recommendations should be shared with the corporate SHaW team and Faculty Health, Safety and Wellbeing Managers/Advisers.

5.5.5 Departmental Safety Coordinators

Departmental Safety Coordinators (DSC, formally known as Departmental Safety Convenors) provide a coordinating role within departments and acts as the main point of contact for championing health, safety and wellbeing issues as delegated by the Head of Department. Their role is generally combined with another departmental post.

The DSC is appointed by the Head of Department to coordinate the implementation and monitoring of the department's operational arrangements and the University's OHS Standards throughout the department to meet the requirements of the University's OHSaW Policy Statement. They work closely with the Faculty/Directorate Health, Safety and Wellbeing Manager/Adviser to continually improve standards and implement the Departmental Health, Safety and Wellbeing Plan.

The DSC (or equivalent) is expected to:

PLAN

- In conjunction with the HoD, assist with the development of a department risk register and risk profile, identifying any gaps which need addressed and regular review documentation;
- Assist the HoD to develop suitable operational arrangements and a departmental safety, health and wellbeing plan, based on a gap analysis, to address the most significant health and safety risks as identified by the departmental risk register and profile;
- Involve and consult staff and students in decision making involving their safety, health and wellbeing;
- Ensuring there is a mechanism to disseminate appropriate health and safety information to all staff and students, visitors and contractors.

DO

- Support the HoD to implement the University's OHS Standards by leading on the implementation of the Departmental Health, Safety and Wellbeing Plan, the development of operational arrangements and the establishment of performance standards to support continual improvement;

- Advise and assist the HoD to periodically review safety, health and wellbeing arrangements within the department including risk assessments;
- Keep up-to-date with relevant health and safety legislation and best practice and providing regular updates to the HoD as appropriate;
- Supporting the HoD, in their role as Chair of the Departmental Health, Safety and Wellbeing Committee meetings, providing information and reports on progress with health and safety actions as required;
- Provide feedback on new and revised OHS Standards to the Head of SHaW during consultation exercises;
- Establish networks and forums for exchange of good practice;
- Ensure all incidents, accidents and near misses related to departmental staff and students have been reported to the HoD and to the corporate SHaW team. As directed by the HoD, investigate incidents/accidents/near miss events and recommend corrective and preventative actions to the HoD to prevent recurrence. Completed investigation reports should be submitted to SHaW in a timely manner to ensure compliance with the RIDDOR Regulations;
- Escalate any departmental SHaW issues to their HoD as necessary;
- Facilitate an up-to-date risk assessment log to be used by PI's, Managers and Supervisors to enable efficient monitoring and assist the HoD to establish whether risk assessments have been carried out comprehensively across all relevant departmental activities;
- Regularly remind PI's, Managers and Supervisors to take adequate precautions with regard to any new or existing safety hazards within the department and seek advice from the Faculty Safety, Health and Wellbeing Manager/SHaW if appropriate;
- Support the Departmental Business Continuity Coordinator to develop and maintain the business continuity/emergency response plans and associated documents to ensure each department is fully prepared to manage a major incident;
- Assist the University's Fire Safety Adviser by inspecting fire safety arrangements and within areas of responsibility and reporting faults to the Departmental committee;
- Identify OHS induction and training requirements for staff, visitors, contractors and third parties and deliver suitable training to meet those needs. Ensure records are maintained as required;
- Regularly remind staff who receive visitors and engage with contractors to provide them with relevant health and safety information and instructions;
- Undertake regular CPD training and development to maintain a sufficient level of competency.

CHECK

- Liaise with relevant plant, equipment and processes owners within the department to check these are appropriately maintained and safe to use;
- Liaise with PI's, Managers and Supervisors to check appropriate risk assessments are being undertaken within the department, reporting deficiencies identified to the HoD;
- Ensure PIs/Supervisors provide staff and students under their control with appropriate training for the job they are expected to carry out;
- Co-ordinate health and safety monitoring by means of regular safety inspections and reporting the findings to the Departmental Safety Committee. Ensure actions are completed in a timely manner by those with delegated responsibilities;
- Oversee other monitoring activities including health surveillance and occupational hygiene monitoring. Maintain an information governance management system to ensure all departmental OHS documentation and records are factually correct, accurate and appropriately stored and can be easily accessed by members of staff and others engaged with the University;

- Contribute to SACSOH by providing papers, reports, and information as requested by the HoD, progressing any actions arising and provide suggestions for improvement;
- Monitor progress made in meeting the objectives contained within the departmental safety, health and wellbeing plan.

ACT

- Maintain a mechanism for controlling and implementing the review and revision of departmental health, safety and wellbeing management arrangements;
- Providing relevant health and safety information to the Faculty/Directorate Safety Health and Wellbeing Manager for submission to SACSOH and attend the Faculty/Directorate Safety, Health and Wellbeing Committee meetings as required.

5.5.6 Other Departmental Roles

The University recognises and supports the enormous role played by staff volunteers across the organisation who assist the University each day to meet its statutory obligations and to embed a compliant, positive safety culture. Roles include CoSHH Assessors, Display Screen Equipment Assessors, Fire Safety Coordinators and Assistants, First Aiders, Hazardous Waste Coordinators, Manual Handling Assessors, Mental Health First Aiders and Radiation Protection Supervisors.

5.6. Duties of all Staff

Everyone engaged with the University of Strathclyde has a responsibility for adhering to OHS Standards and associated arrangements, communicating safety issues and messages, managing risks and getting involved in promoting and maintaining a positive health and safety culture.

In particular, all University employees engaged to undertake work, including full time, part time, agency, casual workers, volunteers, paid researchers and staff under temporary contracts, have a personal legal duty as defined in Section 7 of the Health and Safety at Work etc. Act 1974 to:

- Abide by all controls, instructions, information and training provided;
- Challenge unsafe acts, behaviours and conditions;
- Take reasonable care for their own health and safety and that of others who may be affected by their acts or omissions;
- Co-operate with the department to enable it to comply with its statutory health and safety duties;
- Carry out all work, research and study activities safely and in accordance with the University's OHS Standards, Local Rules or any other relevant instructions;
- Understand the hazards associated with their work activities and engage with the risk assessment process;
- Use and maintain safety equipment and personal protective clothing correctly;
- Not knowingly disregard, interfere or misuse anything provided in the interests of safety, health and wellbeing;
- Not damage the fabric of any University building or connect plant and equipment to services, other than standard electrical sockets, without prior agreement with the Director of Estate Services;
- Complete mandatory health and safety training courses, including induction training and maintain an individual health and safety training record to demonstrate personal competency;
- Be familiar and fully co-operate with emergency and evacuation procedures and comply with instructions given by DSCs, Fire Safety Co-ordinators, First-Aiders, Security Wardens and Emergency Services Personnel;
- Notify their HoD, line manager or academic supervisor as soon as possible to set up a Personal Evacuation Plan (PEEP) if assistance is required to evacuate;

- Notify their line manager or academic supervisor if they have a condition or change in circumstances affecting their health and safety which may be caused by or made worse by work, study or research activities;
- Report all accidents, incidents, near misses, work related ill-health and unsafe acts to their line manager or Departmental Safety Coordinator as soon as possible;
- Support a positive safety culture by suggesting continual improvements and complying with those introduced.

Where a staff member knowingly disregards the requirements of any OHS Standard or associated arrangements, they may be subject to the disciplinary process as set out in the University Disciplinary Procedure produced by Human Resources.

6. DUTIES OF ALL STUDENTS

All students while on University premises, external placements and field trips, or when travelling abroad as part of their studies, have responsibilities in terms of their own safety, health and wellbeing and in respect of others.

All students must:

- Take care of their own actions and not put themselves or others at risk;
- Follow all safety, health and wellbeing instructions, precautions and rules provided by academic and technical supervisory staff;
- Report any shortcomings in health and safety arrangements to their academic supervisor;
- Report any accident, incidents and near miss events to their academic supervisor.

7. THE UNIVERSITY OF STRATHCLYDE STUDENTS' ASSOCIATION

The University of Strathclyde Students' Association (USSA), Strath Union, is a separate legal entity to the University, and as such, engages its own competent advice on safety, health and wellbeing matters and abides by its own Health and Safety Policy.

As an organisation involved in providing considerable support to the USSA, the University takes an active role in supporting the USSA's general health and safety arrangements. SHaW carry out an annual support visit where progress with safety, health and wellbeing objectives and targets are reviewed. The information collected is reported to Court as part of the annual SACSOH report.

A representative of the USSA, Strath Union, is invited to attend SACSOH.

8. CONTRACTORS/SERVICE PROVIDERS

All University Contractors and Service Providers are required to comply with the University's *Local Rule: Engaging External Service Providers* while working on the University's premises, and any other arrangements applying to the specific work activity. The University requires that contractors ensure their activities are planned so as to not endanger University staff, students and all other interested parties and to keep disruption to others to a minimum.

All contractors are required to:

- Comply with the University's Occupational Health, Safety and Wellbeing Policy statement, OHS standards, guidance and local rules;
- Comply with the safety, health and wellbeing conditions specified in the contract and with all statutory requirements;
- Employ persons competent to carry out their duties without risk to the health and safety of themselves and others (this includes the employment of sub-contractors);
- Contractors are expected to follow appropriate industry guidance and best practice at all times.

HoDs must gain permission from Estate Services and the University's Fire Safety Adviser before undertaking any work involving building fabric, services or permit-controlled work before any work activity commences.

University staff are responsible for inducting and managing their relevant contractors who provide services to the University, and/or work on University premises or undertake work activities on behalf of the University.

9. COLLABORATIVE ENGAGEMENT WITH EXTERNAL PARTNERSHIPS

The University works with many external organisations and individuals, which brings a great deal of benefit to all involved. In all such collaborative engagements based on University premises, the responsibilities of each party for managing and monitoring health and safety must be agreed and documented prior to the commencement of work activities.

These partnerships are managed within the same framework and principles set out in this OHS Standard. The SHaW Department and Estate Services should always be consulted before arrangements are made to engage external research partners.

10. CONSULTATION, COMMITTEES AND FORUMS

The University Court is responsible for establishing an Occupational Health and Safety Committee, chaired by the University Secretary and Compliance Officer, through which it consults its employees on matters relating to safety, health and wellbeing. The SACSOH (Statutory Advisory Committee for Safety and Occupational Health) is constituted in accordance with the Safety Committees and Safety Representatives Regulations 1977 and for the purposes of the Health and Safety (Consultation with Employees) Regulations 1996.

As permitted, the safety representatives appointed by the University's recognised Trade Unions have confirmed that they represent all staff for consultation purposes and therefore there are currently no elected employee representatives (non-Trade Union) sitting on SACSOH.

11. ROLE OF TRADE UNION SAFETY REPRESENTATIVES

The University of Strathclyde ensures that arrangements are in place to enable staff and their representatives' every opportunity to cooperate effectively in promoting and developing measures to ensure a healthier and safer workplace of all employees and interested parties.

The University fully supports the functions of Trade Union Safety Representatives. These are described below:

- To investigate potential hazards and dangerous occurrences/causes of accidents in the workplace;
- To investigate complaints concerning safety, health and wellbeing matters;
- To carry out health and safety inspections of the workplace;
- To represent staff in consultation with HSE inspectors and receive information from them;
- To attend SACSOH Committee meetings, local departmental health and safety committees.

12. ROLE OF STAFF SAFETY REPRESENTATIVES

At a departmental level, the HoD may appoint staff safety representatives to sit on the departmental safety committee. In such circumstances, staff safety representatives are accorded the same rights as those who are affiliated to a Union. The University is committed to providing all such staff with the appropriate training and support necessary to the role.

13. MANDATORY HEALTH AND SAFETY TRAINING

Participating in mandatory health and safety training, commensurate with an individual's management and/or operational role is expected at all levels of the organisation. Staff are able to demonstrate a clear understanding of safety, health and wellbeing risks through the attainment of the following qualifications (or recognised equivalents), and by attending or completing internal health and safety training courses (organised by the SHaW Dept.) described in the table below:

Organisational Role	Mandatory Training Course
Governance and Leadership Roles	<ul style="list-style-type: none">• IOSH Leading Safely
Senior Management Roles	<ul style="list-style-type: none">• IOSH Leading Safely• *HoD SHaW Legal Responsibilities

Operational Management Roles	<ul style="list-style-type: none"> • IOSH Managing Safely (as a minimum standard) • *Principles and Practices of Risk Assessment • #*COSHH Essentials (online course) • Accident Investigation
Compliance Support Roles (excluding the Occupational Health Physician)	<ul style="list-style-type: none"> • #NEBOSH National General Certificate • IOSH Managing Safely (as a minimum standard) • *Principles and Practices of Risk Assessment • *COSHH Essentials - online course • #*COSHH Assessors • Accident Investigation
SACSOH members Faculty Safety/Professional Services Safety, Health and Wellbeing Managers/Advisers (or equivalent) Departmental Safety Coordinators	<ul style="list-style-type: none"> • IOSH Managing Safely (as a minimum standard) • #NEBOSH National General Certificate
All staff	<ul style="list-style-type: none"> • *Part 1 - H&S Induction • *Display Screen Equipment (DSE) Awareness - online course • *Manual Handling Awareness - online course • *Stress Awareness - online course

*Training courses described above should be refreshed every 3 years.

If appropriate to the role/level of risk.

14. DOCUMENTATION AND RECORDS

The requirements to meet this standard are described in this document and are supported by additional documents referenced throughout.

The requirement for managing this document can be found in the OHS Management Standard entitled Document Control, Records Management and Retention (*currently under development*).

15. COMMUNICATION

This Standard should be communicated to all staff, students, contractors, visitors and other interested parties through appropriate routes. The latest copy of this standard is available on the University's Occupational Health, Safety and Wellbeing webpages.

16. TOOLS

University Occupational Health and Safety Information Sheets (See attached Appendices)

1. The University of Strathclyde - Committee of Court - Statutory Advisory Committee on Safety & Occupational Health (SACSOH)
2. Faculty/Directorate Health and Safety Committee
3. Departmental Health and Safety Committee

4. Specialist Safety Committees and Forums
5. The University of Strathclyde's Safety, Health and Wellbeing Organisational Management Structure

17. COMPLIANCE

This OHS Standard aims to meet the requirements of the following legislation and regulations and any future applicable updates, amendments or re-enactments:

- Health and Safety at Work etc. Act 1974
- Safety Committees and Safety Representatives Regulations 1977
- Health and Safety (Consultation with Employees) Regulations 1996
- Management of Health and Safety at Work Regulations 1999
- Genetically Modified Organism (Contained Use) Regulations 2000
- Control of Substances Hazardous to Health Regulations 2002
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
- Construction, Design and Management (CDM) Regulations 2015
- Managing for Health and Safety HSG65 (2013)
- Helping Great Britain Work Well, HSE 2016
- HE Sector-Level Health, Safety and Wellbeing Strategy 2016-2020, UCEA
- Leadership and Management in Health and Safety in Higher Education Institutions, USHA (2015)
- Health and Safety Management Profile (HASMAPP) USHA (2015)
- Leading Health and Safety at Work UCEA/USHA (2008)
- Responsible Research, Published by Institution of Occupational Health and Safety/USHA (2012)
- ISO 45001:2018 Occupational Health and Safety Management System
- The University of Strathclyde Strategic Plan 2015-2020
- The University of Strathclyde, Occupational Health, Safety and Wellbeing Strategy 2016-2021
- The University of Strathclyde, Occupational Health, Safety and Wellbeing Policy Statement v1.1 (Sept 2019)

18. DOCUMENT HISTORY

Changes to this document are maintained in the SHaW Document Control Register which is held by the Head of SHaW.