

# Gazette Supplement



## The Leadership of Health and Safety Report of a Review Group July 2010

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### Foreword by the Chair of the Review Group

The health and safety (H&S) of its staff and students and of members of the public and others within its premises are of paramount importance to the University. The complexity of its operations and the hazardous nature of some of its activities make the highest standards of H&S leadership an imperative for the University's Governing Body, the Council.

The Review Group, which I have had the privilege to Chair, has taken evidence extensively from a wide range of constituencies within the University in order to determine, as required by our terms of reference, whether the University is showing, at its highest level, effective leadership in the area of H&S.

From the earliest stages of the review it became apparent to us how far the University had come, over recent years, in its management and leadership of H&S. It was also notable that, even as our review progressed, further improvements were being made. For example, proposals from the Health and Safety Management Committee (HSMC) that elements of its termly reports to Council should be taken 'above the line' and that there should be collaborative H&S reviews of Divisions on 4-yearly rotating basis, were immediately supported by the Vice-Chancellor. Council also took the important decision to include high-level H&S risks in the University's Strategic Risk Register.

Such improvements, at least partly stimulated by the Review process itself, clearly indicate the value of conducting such periodic H&S reviews at the whole-University level, in addition to holding similar regular reviews at divisional, departmental and unit levels, in line with the recommended best practice of the Universities and Colleges Employers' Association (UCEA).

The Group found much to commend in the leadership and management of H&S in the University and our recommendations for improvements are intended to make an already good situation even better. Just as in all its academic endeavours Oxford aspires to lead the field, so in its approach to H&S the University should aspire to set the best possible example to the 'Leaders of Tomorrow', who are the students and researchers of today.

Dr Diana Walford CBE  
Chair, H&S Review Group  
July 2010

### Foreword by the Chair of the UK Health and Safety Executive

To the best of my knowledge, Oxford University is the first to carry out an in-depth review of its leadership on health and safety using The Universities and Colleges Employers' Association good practice guidance. I was delighted, therefore, to be invited to act as the independent member of the panel and it has been a fascinating and enlightening process to participate in over the last few months.

I have noted that the process of carrying out the review has itself stimulated some new thinking about health and safety with one of the visible results already being the raising of its profile at senior levels. As well as identifying good practice in many parts, the review has also highlighted areas which need to be addressed; some of which will require further development that will take time to implement. Consequently, a further review of this type to assess progress would be very worthwhile. My view is that this could be most meaningfully carried out in around five years' time.

I would very much hope that Oxford University will take the opportunity to communicate the positive benefits which have been gained from this review to other Universities and Colleges. HSE's strategy for health and safety in Great Britain in the 21st Century makes leadership a central pillar in building the right culture and I believe that others should seek to follow your example and demonstrate similar levels of leadership in health and safety.

Judith Hackitt CBE  
Chair of HSE  
July 2010

### Executive Summary

The Review Group, using the publication *Leading Health and Safety at Work*, published by the Universities and Colleges Employers' Association (UCEA) and the Universities Safety and Health Association (USHA), together with UCEA's *Health and Safety Management Code of Best Practice*, has identified the following issues in relation to the University's leadership of health and safety, which it wishes to draw to Council's attention.

- (i) The Review Group is impressed by the overall standard of H&S leadership within the University, but feels that this could be further demonstrated by raising the profile of H&S in Council and at divisional boards.
- (ii) Although there is a suitable H&S Policy statement, H&S objectives are

absent from the University's strategic plan, from its strategic Risk Register and from the five-yearly divisional plans - issues that can be readily rectified.

(iii) The links between Council and the Health and Safety Management Committee (HSMC) need to be strengthened; the authority of the HSMC should be enhanced and its working relationship with the Consultative Committee on Health and Safety (CCHS) improved.

(iv) The respective roles of heads of divisions and heads of departments in the leadership and management of H&S are not well understood and need to be clarified.

(v) There is an issue of resource in relation to some divisions' ability to deliver their oversight role; but resources directly available to the University Safety Office and to the Occupational Health Service are deemed adequate, by their respective directors, for planned service delivery.

(vi) There is a multiplicity of differing roles, job descriptions and grades for safety officers across the University and, in the absence of a Head of Profession for safety officers, no uniform way of quality-assuring their performance.

(vii) There is difficulty, stemming from the increasing use of short-term contract employment, in ensuring continuity and experience in safety-related appointments within departments; the naturally high level of turnover of personnel within the University increases the challenge of ensuring that good health and safety practice is truly embedded in a sustainable way in the organisation.

(viii) There is poor uptake of the available H&S training and no training plan designed to ensure that the training offered meets the specific requirements of each division and Academic Services and University Collections (ASUC) and the needs of all those with H&S responsibilities, including members of Council.

(ix) As yet, an effective system of central monitoring of sickness absence and work-related illness, including stress, is not in operation, but is under development; such a system is essential if Council is to have adequate assurance of the health and wellbeing of employees.

(x) The University's research is at the cutting edge of science and a system of 'horizon scanning' is needed to ensure new or novel risks are identified and managed proactively.

Overall the Review Group concludes that the University performs well against the benchmark *University Health and Safety Management Code of Best Practice* and, by implementing the recommendations in this report, should be able to achieve an even better level of performance, without undue difficulty or significant additional resource. Progress should be monitored by repeating similar reviews of the leadership of H&S at suitable intervals. Recommendations to address all the above issues are set out in Section 8.

## SECTION 1

### Introduction

#### 1.1. Background to the Review

At its meeting in February 2009, Council asked that a review be carried out of the leadership of Health and Safety (H&S) within the University. Council's decision was taken on the basis of a recommendation from the Health and Safety Management Committee (HSMC) and also in light of recently published guidance from the Universities and Colleges Employers' Association (UCEA), *Leading Health and Safety at Work*. A Health and Safety Review Group was subsequently established to conduct the review.

#### 1.2. Terms of Reference

The Terms of Reference (ToRs) of the Review Group, set by the Registrar, were as follows:

*'To investigate, using the Universities and Colleges Employers' Association and the Universities Safety and Health Association publication Leading Health and Safety at Work as a basis for its work, whether the University is showing, at its highest level, effective leadership in the area of health and safety; and to include, in that examination, the role and function of Council and the Health and Safety Management Committee.'*

#### 1.3. Composition of the Review Group

Membership of the Review Group comprised Dr Diana Walford CBE (Principal (Mansfield College) (Chair)), Professor Susan Cooper (MPLS), Dr Adrian Allsop (Social Sciences), Mrs Ruth Davies (Bodleian Libraries), Professor Derrick Crooke (Medical Sciences) and the External Member, Ms Judith Hackitt CBE (Chair, UK Health and Safety Executive). Mr Chris Thompson

(Council Secretariat) was appointed as Secretary.

## SECTION 2

### 2.1. The basis for the work of the Review Group

The Review Group used, as its prime sources of reference:

(a) the document *Leading Health and Safety at Work*, published by the UCEA and the USHA.

(b) the *University Health and Safety Management Code of Best Practice*, published by the UCEA.

### 2.2. Statement – *Leading H&S at Work*

*Leading H&S at Work* states that 'Protecting the health and safety of employees or members of the public who may be affected by your activities is an essential part of risk management and must be led by the governing body. Failure to include health and safety as a key business risk in board decisions can have catastrophic results. Many high-profile safety cases over the years have been rooted in failures of leadership. Health and safety law places duties on organisations and employers, and senior management can be personally liable when these duties are breached: members of the governing body have both collective and individual responsibility for health and safety. By following this guidance and the recommendations made by UCEA in its Code of Best Practice on University Health and Safety Management you will help your institution find the best ways to promote a health and safety culture and therefore meet its legal obligations.'

*Leading Health and Safety at Work* defines the essential **principles** of H&S management as:

(a) strong and active leadership from the top:

- (1) visible, active commitment from the governing body;
- (2) establishing effective 'downward' communication systems and management structures;
- (3) integration of good health and safety management with business decisions;

(b) worker involvement:

- (1) engaging the workforce in the promotion and achievement of safe and healthy conditions;
- (2) effective 'upward' communication;
- (3) providing high quality training;

(c) assessment and review:

- (1) identifying and managing health and safety risks;
- (2) accessing (and following) competent advice;
- (3) monitoring, reporting and reviewing performance.

It then outlines a number of questions as being key to the assessment of performance. The Review Group utilised these elements, statement, principles and questions as the basis of its work.

### 2.3. Further considerations

2.3.1. The Review Group noted that its ToRs limited its investigations to the leadership of H&S within the University and that such scope precluded any investigation of **operational** H&S matters, unless they were of particular relevance to the leadership issue.

2.3.2. The Review Group, whilst wishing to assure itself that the current management structure for H&S was in conformity with that prescribed in the University's H&S Policy (Annex A), was cognisant that management structures were for the University to determine and that the Group should confine itself to assessing whether these structures were operating effectively.

2.3.3. The Review Group kept constantly in mind the need to give as much weight to issues of the health of employees as to those of safety.

2.3.4. From the outset, the Review Group recognised the importance of the University setting a good H&S example to its students and researchers who are the 'Leaders of Tomorrow'.

2.3.5. The Review Group also placed considerable emphasis on the reputational standing of the University and the risk to it of poor performance in the area of H&S.

## SECTION 3

### 3.1. Conduct of the review

The Review Group consulted with the senior management of the University including the Vice-Chancellor, the Registrar and Heads of Division (HoDivs) and the Pro-Vice-Chancellor (PVC) (Academic Services and University Collections (ASUC)), all of whom gave oral evidence, supplemented, in some cases, by written response to a questionnaire. At the Committee level, detailed discussions with the Chairman of the HSMC and his recently demitted predecessor took place and, at their meetings in early 2010, the views of members of the Consultative Committee

for Health and Safety (CCHS) and of the HSMC were also obtained. The Directors of the University Safety Office (DUSO) and of the Occupational Health Service (DOHS) were interviewed and responded to a list of detailed questions and the scope of consultation was later broadened to include Heads of Department (HoDepts); the Unite Union, UNISON, the Universities and Colleges Union and the Oxford University Students' Union (OUSU) plus, through the *Gazette*, individual members of Congregation.

3.1.1. The people, committees and organisations consulted by the Review Group are listed at Annex B.

3.1.2. The minutes of oral evidence and written responses can be found on the University intranet.

### 3.2. Issues arising from the consultation

The consultations revealed that appropriate H&S principles were being followed within the University but that H&S was not fully integrated into the University's planning and priority-setting mechanisms. This was exemplified by the absence from the University's Strategic Plan of any reference to an H&S strategy. In turn this meant that H&S did not feature in the five-year divisional plans. Although H&S policy was well developed within the University, there was no obvious strategic framework within which such policy development took place.

3.2.1. Whilst Council was kept generally well informed on H&S within the University, through, *inter alia*, the receipt of termly reports from the HSMC, annual reports from the University Safety Office (USO) and Occupational Health Service (OHS) and also discussed, as appropriate, any reported serious untoward incidents or other important H&S issues, Council's approach to H&S appeared somewhat reactive, rather than pro-active. It was felt that the link between Council and its HSMC needed to be strengthened if the former were to be able to exhibit more visible leadership of H&S in the University.

3.2.2. In his evidence to the Review Group, the Chair of the HSMC proposed that there should be regular reviews by his Committee of H&S in divisions, on a four-yearly rotating basis. Such reviews would be conducted collaboratively with the USO. The resultant report, with commentary by his Committee, would be considered by Council at a meeting at which he would be in attendance. This would help to raise the profile of H&S within Council and help to spread good practice between divisions.

3.2.3. A number of suggestions were also received about strengthening the composition and enhancing the authority of the HSMC; see paragraph 4.2.

3.2.4. Divisions were found to have a variable approach to the leadership and management of H&S and, from the HoDivs' oral evidence and the questionnaire responses from HoDepts it was apparent that divisional roles and responsibilities for H&S needed to be clarified and a framework adopted for the oversight of H&S at divisional level that was best suited to each division's needs. This issue is described in greater detail in paragraphs 4.2 to 4.3.5.

3.2.5. Variability of roles and reporting lines also appeared to exist in all divisions amongst the cadre of staff with formal H&S responsibilities, the Area (ASO), Departmental (DSO) and Unit Safety Officers (UnSO), with varying job descriptions, qualifications and levels of authority existing within and between departments and divisions. It was unclear how this group of staff was performance managed and, hence, how the University leadership could satisfy itself that their H&S work was quality-assured; see paragraph 4.3.6.

3.2.6. A recurrent theme from the evidence was the relatively poor uptake of the abundant H&S training opportunities that were available. This applied to academic supervisors of graduate students and researchers, as well as to others with formally designated H&S responsibilities. A particular area of concern was over the take-up of training relating to the H&S aspects of field studies. There seemed to be no executive route (or little willingness to use existing managerial structures) to ensure that essential training was, in fact, taken up. The Review Group was of the view that the University needed to ensure that all those with executive responsibilities undertook requisite training including refresher training as deemed necessary. It was also very evident that training programmes should include obligatory face-to-face induction briefing of those in positions of responsibility for H&S, including academic supervisors, HoDepts, Units, HoDivs and Members of Council.

3.2.7. The Review Group was informed of the development of an online H&S training course 'Leading and managing Health and Safety', an Oxford Learning initiative aimed at middle to senior managers. The Review Group understood that this package would be rolled out over the course of the next few months and hoped it might be possible to develop it to meet the needs of HoDivs and HoDepts.

3.2.8. Overall there was a need for H&S training to move to being driven by needs analysis rather than courses available for people to choose whether or not to attend.

3.2.9. With regard to work-related illness, it was noted that, although the OHS had comprehensive and complete data on the numbers of staff and the types of illness presenting to the OHS, there was no effective and reliable university-wide system for the routine monitoring of such illness. It was, however, understood that Personnel Services hoped to introduce new software in the future that would make it easier to collect data on sickness absence and to monitor this centrally, with due regard to confidentiality. It is expected that work in this area, to be conducted in close cooperation with OHS, will commence as part of the Human Resources Information Systems programme in early 2011.

3.2.10. The issue of work-related stress was one about which there was a paucity of University-wide information, but, anecdotally, considerable concern. It was felt that heavy workloads were contributing factors to stress levels in some areas. This situation would not be helped by anticipated reductions in resources across the University. This was not an issue that had been included within risk registers and yet, unless properly recorded, monitored and reported to Council so that appropriate action could be taken, increasing overall levels of stress could result in a rise in 'chronicity', whereby personnel failed to return to work at all after lengthy periods of sickness. It could also lead to increasing levels of 'presenteeism', where members of staff who were unwell continued to work at much reduced levels of effectiveness. The latter, and the under-reporting of illness, was already an acknowledged challenge amongst academic staff.

3.2.11. It was noted that the University had recently revised its stress-management policy ([www.admin.ox.ac.uk/ps/staff/stress/annexc.shtml](http://www.admin.ox.ac.uk/ps/staff/stress/annexc.shtml)) to reflect best practice and that much guidance was available to assist managers and to support individuals who felt under stress.

## SECTION 4

### 4.1. Current structure of H&S leadership and management

The structure is defined in the University's Statement of Health and Safety Policy (2009) – see Annex A, extracts of which appear in the box below, to set the context for issues which have arisen in relation to the current arrangements. The H&S committee structure is illustrated in Fig 1.



The University has established the **Health and Safety Management Committee** as a committee of Council with the responsibility to determine the health and safety management strategy and policies necessary for the University to discharge its legal obligations regarding health and safety. There is also a **Consultative Committee for Health and Safety**, which includes representatives of the recognised trades unions together with others representing a wide spectrum of interest in the University. The Consultative Committee will advise the Health and Safety Management Committee on all new health and safety policies and is expected to determine the appropriate health and safety culture for the University.

The Chairman of the Health and Safety Management Committee, who also chairs the Consultative Committee, is appointed by the Vice-Chancellor.

The Health and Safety Management Committee has appointed **three specialist advisory groups to advise on ionising radiation protection, biological safety and occupational health**. It has also appointed a **finance sub-committee** to oversee expenditure on all matters relating to the programmes of work undertaken on the grounds of safety.

**Divisional heads** are responsible for the oversight of departmental arrangements for health and safety within their division in order to ensure that they are functioning in accordance with the University's policies.

**Heads of departments and institutions, and unit administrators in the Humanities Division**, are responsible for the health, safety, and welfare of all persons who are lawfully in the buildings under their charge and are required to bring to the notice of all employees a written statement describing the organisation and arrangements for safety within their departments, institutions or units.

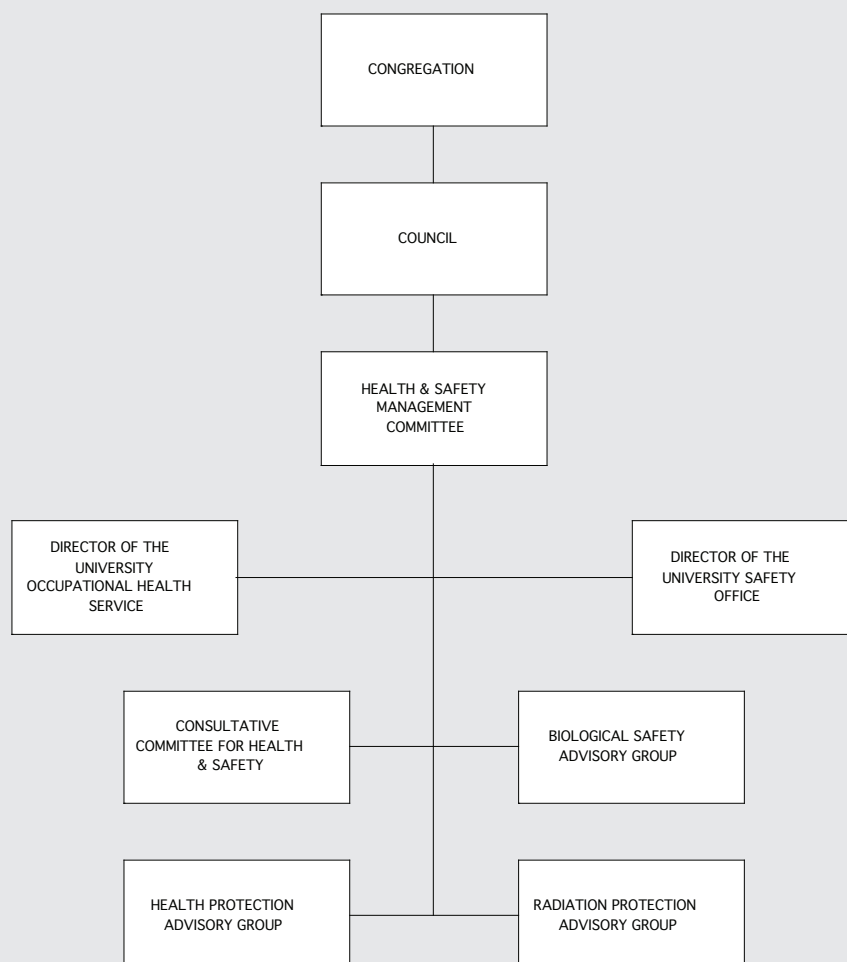
Responsibility for implementing University Safety Policy rests with heads of departments and institutions or with unit safety officers in the case of the Humanities Division. In order to provide expert advice on matters of health and safety, the Council has appointed the following officers:

**Director of the University Safety Office, University Occupational Physician and Director of the University Occupational Health Service.**

Heads of departments must appoint suitable members of their staff as departmental safety officers to advise them and to liaise with University officers. Area safety officers are appointed in high-risk science and clinical departments in order to enhance the departmental safety officer system. Any department using ionising radiation must have a system of radiation protection management based on departmental radiation protection supervisors, whose task is to ensure compliance with statutory regulations and local rules. Departments carrying out genetic modification work must appoint a departmental biological safety officer.

**Fig1**

**University H&S Committee Structure**



#### 4.2. Issues in relation to the H&S Committees

The University's H&S management structure is committee-based, with the HSMC having a strategic and policy-making role, reporting to Council; and the CCHS having a more operationally-centred responsibility, reporting to the HSMC. The constitution and ToR of the two Committees are given at Annexes C and D.

4.2.1. All HoDivs are *ex officio* members of the HSMC, as is the PVC (Research), reflecting the importance and seniority of the Committee. The Review Group heard that attendance by some HoDivs in person was infrequent. The Group felt that regular attendance at meetings of the HSMC by HoDivs personally was important, rather than that attendance should be delegated, but that if such delegation occurred it should be within a formal structure of delegated authority to a specific individual, as was the case in the Social Sciences Division. It should not be an ad hoc arrangement.

4.2.2. The Chair of the HSMC, conventionally a Head of House, is also Chair of the CCHS. This arrangement provides a stable link between the two committees as well as a measure of external neutrality, as Heads of House are outside the University's line-management structure. Although there was a suggestion that the authority of the Chair of the HSMC might be enhanced if the post-holder had executive authority over the DUSO, in practice the working arrangements were excellent and the Review Group felt it entirely appropriate for the Chairmanship of the HSMC to rest, as it has done in recent years, with a Head of House.

4.2.3. In their responses to consultation, the CCHS itself and Unite and UNISON all made the point that the two committees should work more closely together and that, if the two committees were not to be amalgamated, at the very least there should be one joint meeting a year between the two committees, so that the CCHS could be more closely involved in the early stages of policy formulation. The Review Group saw merit in that suggestion and understood the Chair of HSMC/CCHS was very receptive to the idea.

4.2.4. Various suggestions were made as to ways in which the HSMC's authority and influence might be enhanced. This was felt to be necessary because of the difficulty of securing implementation of agreed safety policies and procedures throughout all parts of the University. Suggestions for enhancing its authority included the appointment of

a second PVC as another *ex officio* member to the Committee and the addition of an elected member of Council (i.e. not an officer of the University) to its membership. In the former case, given that one PVC was already an *ex officio* member, and another – the PVC (Planning and Resources) – was a member as the person appointed by Council, this was not thought to confer any particular advantage. However, the Review Group considered that the authority of the HSMC could be augmented by the inclusion of an elected member of Council within its composition; such inclusion would also enhance the continuity of policy development and policy making between the two bodies.

4.2.5. One suggestion the Review Group received was that an external member of Council might be appointed as the Council's H&S 'Champion' and that such an appointment could improve the overall visibility of H&S within Council meetings. The Review Group gave this proposal careful consideration but came to the conclusion that it could be counter-productive by leading to an 'it's not my responsibility' response to H&S within Council, whereas, legally, the Council collectively, and each of its members individually, are statutorily responsible for H&S within the University.

4.2.6. Overall, the idea for enhancing the HSMC's authority that most commended itself to the Review Group was the proposal from the Chair of the HSMC that there should be collaborative (with the USO) H&S reviews of Divisions, by his Committee, on a four-yearly rotating basis. The resultant report, with commentary by his Committee, would be considered by Council at a meeting at which he would be in attendance. This would help to raise the profile of H&S within Council and help to spread good practice between divisions.

4.2.7. The Review Group was delighted with the enthusiastic support that this proposal had received from the Vice-Chancellor.

#### 4.3. Issues in relation to Divisions

In the light of the University's H&S policy, the Review Group interpreted the **oversight** role of the HoDiv to be one of **assurance** that systems and resources (including staff) were in place to implement the H&S policy, whilst that of the HoDept or Unit Safety Officer was to ensure **operational implementation** of H&S policies and procedures. However, from the evidence received from both HoDivs and HoDepts, it became apparent that there were some issues of concern in relation to this split of responsibilities.

4.3.1. **Humanities.** In the Humanities Division, where there are Faculties rather than departments, the responsibility of the HoDiv for H&S, supported by the Divisional Secretary as DSO, was well understood and executed. It did, however, place a considerable burden on the Divisional Office and the HoDiv felt that there was an argument for the Chairs of Faculty Boards to take more responsibility for H&S. Neither the HoDiv nor the Divisional Secretary had received any briefing on their H&S responsibilities. Professor Shuttleworth also confirmed that it was her intention that reports from twice-yearly meetings of the divisional H&S committee should now be seen by the Divisional Board and that H&S should appear on the Divisional Risk Register. The Division received a high level of support from the USO, but was concerned that safety incident reports went direct to the USO and felt that the Division should receive notification of such incidents (suitably anonymised if necessary) at the same time.

4.3.2. **Social Sciences.** In the Social Sciences Division, the HoDiv had formally delegated his H&S responsibilities to his deputy HoDiv. The latter attended the HSMC and reported back to the HoDiv after each meeting. H&S matters of note were also discussed at the Divisional Planning and Resource Committee. As the HoDiv Professor Goodman had received no briefing on his H&S responsibilities but, as far as the main H&S risks in his division were concerned, he identified fieldwork, particularly when conducted abroad, as the main area of concern. External training sometimes had to be bought in to cover the variety of circumstances likely to be encountered in the field; and there was the problem of ensuring that the training available was actually taken up. In this regard, academic supervisors and others needed to be informed, preferably in face-to-face briefings, of their H&S responsibilities.

4.3.3. **Mathematical, Physical and Life Sciences.** In the MPLS Division, the HoDiv had established a review of H&S whose detailed report contained recommendations that were now being taken forward. Whilst the prime responsibility for H&S lay with HoDepts, given his academic specialism, he was very H&S aware and felt the need for greater feedback from departments. He also had frequent contact with the DUSO and valued his advice.

4.3.3.1. Professor Halliday confirmed that, as a HoDiv, he had received no specific H&S briefings and that a relevant training package was required. Whilst the prime H&S responsibilities lay with HoDepts, HoDivs

needed to be able to ensure informed oversight. At present the Divisional office was not staffed to undertake this oversight function, but an appointment was pending and the person appointed would have H&S as part of his/her job description.

4.3.3.2. Ensuring compliance with H&S policies and procedures was the responsibility of HoDepts, but there could be occasions when formal enforcement action was required, when the USO looked to the HoDiv for support. In such cases Professor Halliday felt the USO and its Director should have enforcement powers which would, in turn, enable the HoDiv to take a firmer stance. There needed to be an ability to impose an H&S solution as necessary.

4.3.3.3. Professor Halliday agreed that the H&S implications of novel technology were a big issue and that potential hazards were embedded within all such work. There was a need for researchers to use their experience to think of what could/might go wrong and to be prepared for it, i.e. to 'horizon scan'. He agreed that it would also be helpful if such work could be scrutinised by a 'fresh pair of eyes'. Much of the challenge in this area was the result of changes within University staffing which had seen the loss of employed technical staff and an increase in the numbers of short-term sponsored researchers who, by the nature of their contract work, were subject to high rates of turnover. Any move to reverse this trend would require considerable financial investment by the University, which was very unlikely in the current financial climate.

4.3.4. **Medical Sciences.** In the Medical Sciences Division, which had a very small divisional structure in relation to the size of its constituent departments, the HoDiv stated that the Divisional Office provided oversight and advice but was not resourced to carry out fully the accountability responsibilities for departmental H&S arrangements laid upon it by the University; and that any H&S incidents were reported by departments directly to the USO, informing the Divisional Office. If the division were to be able to discharge more fully its role, additional resources would be needed. Whilst the Review Group understood how this situation had arisen, following the creation of divisions, the Review Group felt that it was unsatisfactory that the division was apparently unable to carry out fully any accountability role required by the University's H&S policy. The Review Group considered that the division and the University should, together, work to address the issue.

4.3.5. **The Academic Services and University Collections.** ASUC is effectively a division led by a Pro-Vice-Chancellor. Professor McKendrick had not received any formal briefing on his H&S responsibilities and, initially, had been unaware that the ASO's formal reporting line was to him as HoDiv, since the ASO's main working relationship was with the Divisional Secretary. Whilst this arrangement worked well, Professor McKendrick suggested that, in order to avoid conflicting advice being received, consideration should be given to ASOs and DSOs having a direct reporting line to the DUSO. Without a direct reporting line to the Head of the Safety Office he felt that there was a risk of confusion because reporting lines were not as clear as they should be.

4.3.6. Below the top level, the four academic divisions and ASUC have their own structures for delivering the H&S agenda, in line with the University's Statement of H&S Policy. Within each division, there are varying arrangements involving ASOs, DSOs or UnSOs, with a variety of different job descriptions and reporting lines. There are only three full-time DSOs and it was thought important to note that the majority of other DSOs were drawn from the academic, academic-related or technical staff of a department who might have no formal H&S qualifications and whose H&S responsibilities are carried in conjunction with their main responsibilities. DSOs report to HoDepts, often through a departmental administrator, but the arrangements were not uniform in departments, centres and institutes. The Review Group did not consider that the lack of uniformity in such arrangements was necessarily problematic, provided the arrangements worked well in practice. It did, however, seek to establish whether the arrangements and reporting lines were known about and understood in each division and department or unit and found that such knowledge was quite often lacking, despite the fact that these are set out in Departmental Statements of Safety Organisation.

4.3.6.1. ASOs are full-time H&S professionals who normally hold high-level H&S qualifications. Whilst all are at grades 7 to 9, their job descriptions vary. The Review Group heard that, following a policy decision taken some years ago, none of the safety officers within divisions report to the DUSO but to HoDepts or, in the case of some ASOs to HoDivs or, in the case of Humanities, to a DSO, who is the Divisional Secretary. Whilst, in practice, there was excellent liaison between all safety officers and the DUSO, the Review Group noted

that one consequence of the decision that neither ASOs nor DSOs should report to the DUSO was that there was no *de facto* 'head of profession' for safety officers in the University, with responsibility for quality assuring overall standards of training and qualifications of H&S staff and of ensuring appropriate job-descriptions and grading. A further consequence of this was that there was insufficient sharing of good practice between safety professionals and this was an important area where improvement was possible.

#### 4.4. Reporting lines for the Director of the University Safety Office and the Director of the Occupational Health Service

The Review Group noted that, at present, the University's two top-level H&S professionals, the DUSO and DOHS, both had direct reports to the Registrar. The DUSO, should any particular situation demand it, also has direct access to the Vice-Chancellor.

4.4.1. The Review Group was informed of a recommendation, within a draft review of personnel-related functions being conducted by the Registrar, that the reporting line of the DUSO and DOHS should be changed from a direct line to the Registrar to the proposed post of Director of Human Resources (DHR). In respect of the DUSO, the Review Group noted that he would retain immediate access to the Vice-Chancellor on safety matters if required and considered the new reporting proposal appropriate providing that immediate access was retained. However, the matter of the revised report of the DOHS gave the Review Group some concern and was discussed in some detail with both the Vice-Chancellor and the Registrar. They were sympathetic to the view of the DOHS that a reporting line to the DPS carried some risks to the delivery of the OHS, with potential to impact on work-related staff health. This was because staff confidence in the OHS could be undermined if they had concerns about a potential loss of medical confidentiality and because they might perceive a conflict of interest for the DOHS if he was being performance-managed by the DHR. Whilst the Review Group was anxious to make its view on this issue known, it recognised that it did not fall within its ToRs to suggest an alternative direct report. In her evidence to the Review Group, the Registrar was able to give reassurance that the issue had now been addressed and that the DOHS accepts the proposed new arrangements.

4.5. **The Registrar** also indicated that she would like to see the profile of H&S in Council raised. Appropriate mechanisms

needed to be in place for Council to be assured that it would be kept informed of serious issues as they arose, that it was able to monitor staff sickness, including stress, and for relevant systems for training and management to be in place. Work was in progress to develop the H&S Risk Register, which the Review Group was later informed was in its second draft and awaited re-submission to the HSMC, and further work was needed on the H&S policy statement. Briefings for Council members on their H&S responsibilities and the legal obligations placed on them as members of the University's Governing Body should be introduced. Overall, the Registrar was of the view that the University should aim for the highest standards in the management of H&S, exceeding those required by law where possible.

**4.6. The Vice-Chancellor**, in his evidence to the Review Group, emphasised the importance he placed on the University operating to the highest standards in relation to H&S. He had been most impressed, on arriving from Yale, at the rigour and attentiveness of the H&S regime in the Chemistry Department, where he was continuing his research. For the University as a whole, he identified the question of assurance as the principal area of weakness in the implementation of the University's H&S policy and he hoped the ongoing review would identify a positive means of gaining the requisite assurance. He very much welcomed the increased visibility to be given to H&S in Council through discussion of the termly reports from the HSMC and through the proposed system of annual reports to Council from the HSMC's reviews of H&S in each division and ASUC, on a four-yearly rotating basis.

## SECTION 5

### 5.1. H&S-related financial arrangements within the University

The Review Group was informed that current quantifiable resources specifically dedicated to H&S management amounted to £2M in respect of the USO and £0.5M in respect of the OHS. Whilst the Review Group did not consider these sums insufficient, it was later informed that these sums had been reduced, in line with reductions applied elsewhere within University services, to £1.881M and £0.47M respectively, as a consequence of the overall pressure on resources. The Review Group was told that reductions would be met, in respect of the USO, through reductions in USO grants to departments and to USO office costs and, in respect of the OHS, by the loss of one nurse-day per week and the

withdrawal of physiotherapy services.

5.1.1. Whilst it was not appropriate for Review Group to comment on any future, or further, cuts it did wish to make clear that it hoped that, in times of significant budgetary pressures, the current H&S priorities would be retained. It was also pleased to note that any additional reductions were to be secured through agreed deferment, but not cancellation, of desirable, as opposed to essential programmes.

5.1.2. It was clear to the Review Group that significant sums in direct and indirect costs were being spent on H&S beyond those devoted to the USO and OHS, but these were difficult to quantify. For example, safety officers of the different divisions, departments and units were of different grades and there was significant input of departmental and other staff time. It was also evident that funds set aside and available for H&S were held within numerous different allocations. However, the Review Group was pleased to receive assurances from a number of departments that funding required for H&S measures was invariably found when required, even at the expense of other non-H&S priorities.

## SECTION 6

### 6.1. The University's present achievement against UCEA H&S Management Best Practice Standards

The Review Group has assessed the University's current performance against the 'traffic light' system which forms the 'Indicator' column of the table below as follows:



PRINCIPLES	INDICATOR (Targets or Goals)	EVIDENCE	INDICATOR	COMMENTARY
<b>Commitment</b>				
Universities achieving best practice in H&S management are fully committed to controlling risk and preventing harm to people.	1. H&S is integrated into the University's core business management activities.	1. The University's corporate strategy statements and plans include H&S aims and objectives.	R	The H&S objectives are not incorporated in the University's Strategic Plan but are readily available in policy documents and on the website.
		2. The governing body approves the strategic H&S aims and objectives and requires periodic written reports on H&S performance.	G	Achieved.
		3. Senior staff demonstrate their personal commitment to H&S, leading by example and providing unambiguous direction.	A	There is no training provided to the most senior staff in the institution to help them understand their H&S responsibilities.
		4. Senior staff can describe strategies that they have put in place and their programme for continuing improvement.	A	There is some confusion at HoDiv level about their H&S roles and responsibilities and how these relate to those of HoDepts. More training and briefing is required.
		5. An appropriate H&S management standard has been formally adopted and incorporated into the appropriate strategies.	A	In some instances incorporation is incomplete.
	2. The University is committed to establishing and maintaining a properly resourced occupational H&S management system.	6. The resources necessary to establish and maintain the occupational health and safety programme are recognised and allocated.	G	Achieved, and will be maintained even in the light of programmed resource reductions.
<b>Policy</b>				
Universities achieving best practice in H&S management use effective H&S policies to set a clear direction.	3. The H&S policy has the unequivocal support of the governing body and the Vice Chancellor.	7. There is a written H&S Policy which supports the corporate strategy, signed by both a representative of the governing body and the Vice-Chancellor.	G	Achieved.
<b>Organisation</b>				
Universities that are achieving best practice in H&S management set up effective management structures and arrangements for implementing policy.	4. All staff understand their H&S responsibilities and are held to account for meeting them.	8. Responsibilities for H&S are devolved successively through a H&S management structure and written down.	A	Achieved, but weaknesses are evident in the H&S understanding and training of academic staff.

PRINCIPLES	INDICATOR (Targets or Goals)	EVIDENCE	INDICATOR	COMMENTARY
		9. Arrangements are in place for the appraisal of the H&S performance of individuals.	A	Whilst systems are evident in some areas, there is no systematic appraisal of H&S as part of the University's performance appraisal programme.
	5. The University's H&S arrangements are sustained by effective communication and the promotion of competence enabling staff to make a responsible and informed contribution.	10. Information on hazards, risks and control measures; the university's H&S policy and strategy; and the implementation plan is widely communicated.	G	Achieved.
		11. There is access to competent H&S advice for both management and staff.	G	Achieved.
		12. There is a H&S training strategy plan. 13. Senior staff receive H&S management training. 14. All staff are provided with H&S training commensurate with their level of responsibility.	A A A	Training plans are operational rather than strategic. A lot of training is available but take up is incomplete and there is a need to ensure that training programmes are designed to meet the training need. This is an area which requires a considerable amount of attention.
	6. The University's H&S arrangements are underpinned by effective staff involvement and participation.	15. There are arrangements for the involvement and participation of all employees.	G	Achieved.
<b>Planning</b>				
Universities achieving best practice in H&S management adopt a planned and systematic approach to implementing H&S policy.	7. The University has clear H&S aims, objectives and standards based on the principle of preventing harm through identifying, eliminating and controlling hazards and risks.	16. Arrangements are in place for systematic hazard identification and risk assessment in all areas of operation.	A	Where the risks are known the systems work well. Oxford University works at the cutting edge of knowledge in many fields and a process for hazard identification and risk assessment needs to be developed for areas where the challenges are not known.

PRINCIPLES	INDICATOR (Targets or Goals)	EVIDENCE	INDICATOR	COMMENTARY
		17. There is a written H&S plan (or Programme) which sets objectives, responsibilities and timescales.	G	Achieved.
		18. Systematic risk assessment is used to prioritise the contents of the H&S plan or programme.	G	Achieved.
		19. Written performance standards are established and used to measure achievement.	G	Achieved.
<b>Measuring and Reviewing Performance</b>				
Universities achieving best practice in H&S management know the strengths and weaknesses of their current arrangements.	8. Performance is monitored against plans and standards to reveal when and where improvement is needed.	20. There are proactive arrangements in place to measure performance and compare it with pre-determined plans and standards.	A	Departmental H&S self-assessment forms are forwarded to the University Safety office for audit. However, better processes for feedback and the sharing of good practice need to be developed.
		21. There are procedures for reporting and investigating accidents, injuries, ill health and near misses.	G	Achieved.
		22. There are arrangements for implementing remedial action following all monitoring activities.	A	See the Final Report; corrective actions taken are sometimes not sustained, or can take time to put in place.
		23. There are periodic independent audits of the whole management system.	G	Achieved.
		24. Performance is systematically reviewed based on the findings of monitoring activities and audits.	G	Achieved.
	9. The University learns from all relevant experience and applies the lessons through the planning process.	25. The findings of the review process are used to revise the H&S policies, strategies and plans.	G	To be achieved?

## SECTION 7

### 7.1. Perceived challenges

The Review Group assessed these to be as follows:

- (a) H&S is not visible enough in key parts of the University's planning process, such as in the Strategic Plan and the five-year divisional plans;
- (b) H&S does not occupy a prominent enough place in the Council's deliberations for Council to be seen to be taking an active leadership role in this area;
- (c) Council needs a better mechanism of being assured that its H&S policies are operating effectively;
- (d) the profile and authority of the HSMC is insufficient;
- (e) divisions have a variable approach to the leadership and management of H&S and there is a need for the split of responsibilities between divisions and departments to be clarified;
- (f) there is scope for a more pro-active approach to the dissemination of best practice;
- (g) the ASO and DSO roles and reporting lines vary and a formal system of performance appraisal in relation to the conduct of H&S duties is lacking;
- (h) little evidence of H&S training needs analysis which leads to inadequate uptake of necessary H&S training and there is little, if any, provision of on-appointment briefing on their H&S responsibilities for those in senior management or leadership roles, including members of Council;
- (i) the University's student and staff population is, by its very nature, subject to much turnover, and post-doctoral researchers on fixed-term contracts are now taking on responsibilities that would formerly have been the province of long-serving technical staff or permanent research staff, making it difficult to ensure systems and procedures are embedded in a sustainable way;
- (j) the extent of work-related illness and stress is not known, as effective systems are not yet in place for central recording, monitoring and reporting of work-related illness, including stress;
- (k) the University has to manage a huge diversity of potential risks, ranging from overseas trips to laboratory equipment,

fire hazards, ionising radiation, pathogens, chemicals, construction works, student and public safety; the University's H&S system therefore has to cover the entirety of risks and focus on the priorities;

(l) the University works at the leading edge of research, where there is potential for new and unknown H&S risks which those working closest to the novel technology may not be best placed to identify.

## SECTION 8

### 8.1. Recommendations

To address the above perceived challenges, the Review Group recommends that:

#### 8.2. Council

Council should:

- (1) include a section on H&S in the University's Strategic Plan;
- (2) include H&S in the University's Strategic Risk Register;
- (3) require divisions to include H&S in their five-yearly divisional plans;
- (4) clarify the respective responsibilities for H&S of HoDivs and HoDepts and ensure that HoDivs have adequate resources for carrying out their H&S assurance role;
- (5) require the HSMC to prepare an operational plan for implementing the H&S strategy;
- (6) endorse the proposal of the Chair of the HSMC for an H&S review of each division and of ASUC, in rotation over a four-year cycle, reporting to Council;
- (7) appoint an elected member of Council to the HSMC;
- (8) promote timely implementation and effective use of the Human Resources Information System for monitoring staff illness, including stress;
- (9) undertake repeat reviews of the leadership of H&S at suitable intervals.

#### 8.3. HSMC

HSMC should:

- (1) prepare an H&S strategy for incorporation in the University's Strategic Plan;
- (2) prepare an operational plan to give effect to the strategy, to include:
  - (a) the four-yearly H&S reviews of divisions and ASUC, in collaboration with the USO;

(b) a plan for the supply and delivery of relevant and appropriate training for staff and students, incorporating the training needs identified by each division;

(c) an approach to dealing with persistent non-compliance with agreed policies;

(3) establish a mechanism for 'horizon scanning' to ensure that, as far as possible, potential H&S hazards are identified at an early stage in the development and implementation of novel technologies;

(4) institute an annual joint meeting with the CCHS.

#### 8.4. Heads of Divisions

HoDivs should:

- (1) ensure that the full range of H&S risks are considered and those of highest priority/impact are included in their Divisional Risk Registers;
- (2) include H&S in their divisional plans;
- (3) clarify with their departmental, faculty and unit heads the roles and responsibilities for H&S within the Division and foster improved communication on H&S matters within the Division;
- (4) ensure systems are in place for briefing newly appointed managers and supervisors on their H&S responsibilities including their responsibility to ensure the take-up by staff and students of relevant training;
- (5) arrange for their Divisional Board to receive regular reports of rates of sickness absence from the departments and units once central monitoring has been put in place;
- (6) participate in the four-yearly reviews of H&S by the HSMC, working on the reviews in close collaboration with the USO;
- (7) where new or novel technology is to be introduced into the Division, it should be subject to appropriate 'horizon scanning' scrutiny.

#### 8.5. Heads of Departments and Units

HoDepts and Units should:

- (1) review their departmental H&S risks, prioritise them and include them on their Risk Registers;
- (2) consider H&S aspects in all departmental planning;



(3) work with the Divisional Office to clarify roles and responsibilities for H&S and ensure good communication with the Division and other departments on relevant H&S issues, to benefit from lessons learned;

(4) ensure that all new appointees with H&S management responsibilities receive face-to-face briefing on these, as part of their induction, and that effective briefing of all students and researchers takes place;

(5) ensure that all those with statutory H&S responsibilities (e.g. radiation protection) undertake the requisite training and refresher courses;

(6) identify other H&S training needs across their department/unit;

(7) ensure that corrective actions and new procedures are effectively embedded into the department's processes so that they are not eroded over time;

(8) include performance on H&S responsibilities in staff appraisals;

(9) monitor and benchmark sickness absence rates and investigate increases over expected or benchmarked rates once central monitoring has been put in place;

(10) participate in the four-yearly review of H&S by the HSMC;

(11) seek feedback from the DUSO on lessons to be learned from Departmental Safety Audits and HASMAP audits and implement recommended improvements.

## 8.6. DUSO

The DUSO should:

(1) work closely with the divisions and ASUC to produce reports for the four-yearly H&S reviews by HSMC;

(2) provide feedback to departments and units following their submission of their self-assessment audits and from any HASMAP audits;

(3) be proactive in disseminating good practice;

(4) assist departments and divisions in developing a scheme of performance appraisal for safety officers.

## 8.7. DOHS

The DOHS should work closely with Personnel Services to develop the HRIS for the central monitoring of work-related illness, including stress.

## SECTION 9

### 9.1. List of Annexes

A – H&S Policy document;

B – List of Staff, Committees and Organisations consulted by the Review Group;

C – HSMC ToRs and Composition;

D – CCHS ToRs and Composition;

E – List of Abbreviations and Acronyms.

## Annex A to the Leadership of Health and Safety – Report of a Review Group

### UNIVERSITY OF OXFORD STATEMENT OF HEALTH AND SAFETY POLICY

[www.admin.ox.ac.uk/safety/](http://www.admin.ox.ac.uk/safety/)

For the Health and Safety Management Committee

1. The general provisions of the Health and Safety at Work etc. Act 1974 impose a duty on all employers to ensure, as far as is reasonably practicable, the safety of their employees at work by maintaining safe plant, safe systems of work, and safe premises, and also by ensuring adequate instruction, training and supervision. The University is also bound by the Act to ensure the safety of all other persons, who (though not employees) may be affected by the University's work activities.

2. The University has established the Health and Safety Management Committee as a committee of Council with the responsibility to determine the health and safety management strategy and policies necessary for the University to discharge its legal obligations regarding health and safety. There is also a Consultative Committee for Health and Safety, which includes representatives of the recognised trades unions together with others representing a wide spectrum of interest in the University. The Consultative Committee will advise the Health and Safety Management Committee on all new health and safety policies and is expected to determine the appropriate health and safety culture for the University.

The Chairman of the Health and Safety Management Committee, who also chairs the Consultative Committee, is appointed by the Vice-Chancellor.

The Health and Safety Management Committee has appointed three specialist advisory groups to advise on radiation protection, biological safety and occupational health. It has also appointed a finance sub-committee to oversee expenditure on all matters relating to the programmes of work undertaken on the grounds of safety.

3. The Act requires every employer to prepare a written statement of general policy with respect to the health and safety at work of his employees and the organisation and arrangements in force for carrying out that policy, and to bring the statement to the notice of all his employees. Council therefore circulates the following Statement of Safety Policy:

It is the policy of the University, and the responsibility of Council, to adopt all reasonably practicable measures:

(a) to secure the health, safety and welfare of all employees at places of work under the University's control and elsewhere when performing their duties;

(b) to protect students and other persons who are lawfully on University premises against risk to their health or safety which might arise out of activities in those places;

(c) to maintain safe plant, machinery and equipment and a safe and healthy place of work.

4. It is also the policy of the University to ensure that all members of the University and its staff are aware of their individual responsibility to exercise care in relation to themselves and those who work with them. To this end individuals are enjoined to:

(a) familiarise themselves with University Safety Policy and any departmental or unit safety requirements;

(b) take reasonable care that all procedures used are safely carried out, and seek expert advice in any case of doubt;

(c) warn of any special or newly identified hazards in existing procedures or risks in new procedures about to be introduced;

(d) report accidents or incidents promptly;

(e) familiarise themselves with fire and emergency drills (including the location of emergency telephones) and escape routes; and

(f) where required by University policy register with the Occupational Health Service for health surveillance purposes.

Where self-employed persons or contractors and their employees carry out work on University premises, they must comply with standards of safe working contained in any regulations or codes of practice applicable to their operations, and in the University's safety rules.

5. Divisional heads are responsible for the oversight of departmental arrangements for health and safety within their division in order to ensure that they are functioning in accordance with the University's policies.

6. Heads of departments and institutions, and unit administrators in the Humanities Division, are responsible for the health, safety, and welfare of all persons who are lawfully in the buildings under their charge and are required to bring to the notice of all employees a written statement describing the organisation and arrangements for

safety within their departments, institutions or units.

7. Responsibility for implementing University Safety Policy rests with heads of departments and institutions or with unit safety officers in the case of the Humanities Division. In order to provide expert advice on matters of health and safety, the Council has appointed the following officers:

Director of the University Safety Office;

University Occupational Physician and Director of the University Occupational Health Service.

The policies of the University on specific legislative and other matters are issued as University Policy Statements (previously known as University Guidance Notes). Advice on specific hazards and technical items is issued as memoranda by the University Safety Office and by the University Occupational Health Service.

Heads of departments must appoint suitable members of their staff as departmental safety officers to advise them and to liaise with University officers. Area safety officers are appointed in high-risk science and clinical departments in order to enhance the departmental safety officer system. Any department using ionising radiation must have a system of radiation protection management based on departmental radiation protection supervisors, whose task is to ensure compliance with statutory regulations and local rules. Departments carrying out genetic modification work must appoint a departmental biological safety officer.

8. This Policy supersedes all previous versions of University Safety Policy. It will be reviewed annually by the Health and Safety Management Committee.

9. The names of the chairmen of the committees and advisory groups and of the University officers are given in the Appendix.

**APPENDIX 1 to Annex A to –**

**UNIVERSITY STATEMENT OF HEALTH  
AND SAFETY POLICY**

[www.admin.ox.ac.uk/safety/](http://www.admin.ox.ac.uk/safety/)

**Health and Safety Management  
Committee**

Chairman – Professor K. Gull, Principal of St  
Edmund Hall

**Consultative Committee for Health and  
Safety**

Chairman – Professor K. Gull, Principal of St  
Edmund Hall

**Biological Safety Advisory Group**

Chairman – Professor L. Seymour, Clinical  
Pharmacology

**Health Protection Advisory Group**

Chairman – Miss A.S. Kennedy, Lady  
Margaret Hall

**Radiation Protection Advisory Group**

Chairman – Professor C.I. Newbold,  
Weatherall Institute of Molecular Medicine

**University Safety Office**

Director of the University Safety Office – Mr  
A.C. Kendall

University Fire Officer – Mr K.J. Hewitt

University Safety Officer – Miss J. Black

University Safety Officer – Mr B. Jenkins

University Biological Safety Officer – Mr  
A.M.H. Thompson

Assistant University Biological Safety Officer  
– Miss T.L. Mustoe

University Radiation Protection Officer – Mr  
M. Bradley

**University Occupational Health Service**

Director/Occupational Physician – Dr I.  
Brown

Occupational Physician – Dr A.-M.  
O'Donnell

Operations Manager – Mr R. Dunn

Revised Michaelmas Term 2009

## **Annex B to The Leadership of Health and Safety – Report of a Review Group**

### **LIST OF STAFF, COMMITTEES AND ORGANISATIONS CONSULTED BY THE REVIEW GROUP**

#### **University Staff:**

The Vice-Chancellor;

The Registrar;

Pro-Vice-Chancellor (Academic Services and University Collections);

Heads of Division;

Heads of Department and those of Head of Department Status;

The Chair, Health and Safety Management Committee and the Consultative Committee for Health and Safety;

Professor Michael Mingos – Demitted Chair of the Health and Safety Management Committee and the Consultative Committee for Health and Safety;

The Director, University Safety Office;

The Director, University Occupational Health Service;

Individual members of Congregation.

#### **Committees:**

Health and Safety Management Committee;

Consultative Committee for Health and Safety.

#### **External Organisations:**

UK Health and Safety Executive;

Universities and Colleges Employers' Association;

Universities Safety and Health Association;

Universities and Colleges Union;

UNISON;

Unite;

Oxford University Student Union.



## **Annex C to the Leadership of Health and Safety – Report of a Review Group**

### **COMPOSITION AND TERMS OF REFERENCE – HEALTH AND SAFETY MANAGEMENT COMMITTEE**

[www.admin.ox.ac.uk/statutes/](http://www.admin.ox.ac.uk/statutes/)

#### ***Council Regulations 15 of 2002***

*Made by Council on 26 June 2002*

#### **Health and Safety Management Committee**

Amended on 23 March 2006, 15 February 2007, 28 June 2007 and 15 January 2009

Renumbered on 1 June 2006, 28 June 2007, 19 March 2008, 22 May 2008 (with effect from 1 October 2008), 26 March 2009, 23 April 2009, 30 July 2009, 18 February 2010 and 6 May 2010

3.60. The Health and Safety Management Committee shall consist of:

- (1) a member of Congregation appointed by the Vice-Chancellor as chairman of the committee;
- (2) the Pro-Vice-Chancellor with responsibility for Research;
- (3)–(6) the heads of each of the divisions;
- (7) one person appointed by Council.

3.61. The committee may co-opt up to four additional members, who shall hold office for such period as the committee may determine.

3.62. The committee shall be responsible for the following matters:

- (1) the determination of the management strategy and policies necessary for the University to discharge its legal obligations in respect of occupational health and safety;
- (2) the recommendation of appropriate action necessary to implement the University's Safety Policy, as designed to promote the safety of staff, students, authorised visitors, and members of the public lawfully on university property;
- (3) the taking of action on all management matters of safety and occupational health and other areas of the committee's remit, including the control of such funds as may be allocated to it.

3.63. The committee's remit shall include all matters covered by legislation on health and safety, fire safety, food safety, and the transport of dangerous goods, and by environmental protection legislation relating to the disposal of all hazardous

wastes, radioactive substances, and genetic modification.

3.64. The committee may set up such subcommittees and specialist advisory groups as it considers desirable, and shall determine their membership and terms of reference.

3.65. The committee shall meet at least once a term, and following each meeting shall report to Council on the main matters which it has discussed; the committee shall also make an annual report to Council.

## APPENDIX 1 to Annex C to – MEMBERSHIP – HEALTH AND SAFETY MANAGEMENT COMMITTEE

### Remit

For the remit, please see the relevant part of the Statutes and Regulations ([www.admin.ox.ac.uk/statutes/regulations/520-122k.shtml](http://www.admin.ox.ac.uk/statutes/regulations/520-122k.shtml)).

### Composition

The composition is as follows.

	Name	Conditions of appointment	Until
[1]		A member of Congregation appointed by the Vice-Chancellor as chairman of the committee	MT 2011
[2]		The Pro-Vice-Chancellor (Research)	<i>ex officio</i>
[3]		Head of the Social Sciences Division	<i>ex officio</i>
[4]		Head of the Mathematical, Physical and Life Sciences Division	<i>ex officio</i>
[5]		Head of the Medical Sciences Division	<i>ex officio</i>
[6]		Head of the Humanities Division	<i>ex officio</i>
[7]		One Person appointed by Council	MT 2010
		Up to four co-opted members	
		Secretary – an Officer of the University Safety Office	

### Health and Safety

#### Health and Safety Management Committee

Chairman – Professor K. Gull, Principal of St Edmund Hall

#### Consultative Committee for Health and Safety

Chairman – Professor K. Gull, Principal of St Edmund Hall

#### Biological Safety Advisory Group

Chairman – Professor L. Seymour, Clinical Pharmacology

#### Health Protection Advisory Group

Chairman – Miss A.S. Kennedy, Lady Margaret Hall

#### Radiation Protection Advisory Group

Chairman – Professor C.I. Newbold, Weatherall Institute of Molecular Medicine

#### University Safety Office

Director of the University Safety Office – Mr A.C. Kendall

University Fire Officer – Mr K.J. Hewitt

University Safety Officer – Miss J. Black

University Safety Officer – Mr B. Jenkins

University Biological Safety Officer – Mr A.M.H. Thompson

Assistant University Biological Safety Officer – Miss T.L. Mustoe

University Radiation Protection Officer – Mr M. Bradley

#### University Occupational Health Service

Director/Occupational Physician – Dr I. Brown

Occupational Physician – Dr A.-M. O'Donnell

Operations Manager – Mr R. Dunn

Revised Michaelmas Term 2009

## Annex D to the Leadership of Health and Safety – Report of a Review Group

### COMPOSITION AND TERMS OF REFERENCE – CONSULTATIVE COMMITTEE FOR HEALTH AND SAFETY

#### Remit

The committee shall constitute the consultative forum on health and safety required by the Safety Representatives and Safety Committee Regulations 1977, or any subsequent legislation. It shall consider and, as appropriate, comment on the following:

- (a) questions of health and safety policy;
- (b) the implementation of health and safety policy;
- (c) administrative matters relating to health and safety;
- (d) health and safety training within the University;
- (e) significant accidents and incidents occurring within the University;
- (f) the minutes of each of the specialist advisory groups set up by the Health and Safety Management Committee;
- (g) matters brought to the University's attention by trade union safety representatives.

The committee shall be invited to consider and comment on all proposed new and revised health and safety policies before they are submitted to the Health and Safety Management Committee.

The committee shall meet at least three times a year, and on such additional occasions as the chairman may decide to be appropriate. The minutes of each meeting shall be forwarded to the Health and Safety Management Committee.

#### Composition

The committee may co-opt up to two additional members.

Appointed and co-opted members shall serve for such periods as may be determined by the body appointing or co-opting them.

The composition as at MT 2009 is as follows.

	Name	Conditions of appointment	Until
[1]		The Chairman of the Health and Safety Management Committee, who shall chair the Consultative Committee	TT 2011
[2]		One of two persons employed in the University's technician or Estates Directorate's works yard grades, who shall be appointed by the university branch of Unite (formerly Amicus)	HT 2010
[3]		As above	HT 2010
[4]		One of two persons employed in the University's clerical, library, ancillary, parks or gardens grades, who shall be appointed by the university branch of UNISON	TT 2010
[5]		As above	TT 2010
[6]		One of two persons employed in the University's academic or academic-related grades, who shall be appointed by the university branch of the University and College Union	TT 2010
[7]		As above	
[8]		A departmental administrator, who shall be appointed by the Health and Safety Management Committee	TT 2012
[9]		One of three departmental safety officers, one each from a clinical department, a science department, and a department in the Humanities or Social Sciences Division, who shall be appointed by the Health and Safety Management Committee	TT 2012
[10]		As above	TT 2012
[11]		As above	MT 2009
[12]		A member of the Committee of Heads of Science Departments, who shall be appointed by that committee	
[13]		A member of the Personnel Committee, who shall be appointed by that committee	MT 2010
[14]		One of three persons, each of whom shall be the chairman of a different specialist advisory group set up by the Health and Safety Management Committee, and who shall be appointed by that committee	TT 2011
[15]		As above	TT 2012
[16]		As above	TT 2012
[17]		The Vice-President (Welfare) of Oxford University Student Union	<i>ex officio</i>
[18]		A postgraduate student from one of the Science or Medical Science departments appointed by Oxford University Student Union	
Up to two co-opted members			
Secretary – an Officer of the University Safety Office			

## **Annex E to the Leadership of Health and Safety – Report of a Review Group**

### **LIST OF ABBREVIATIONS AND ACRONYMS**

ASO – Area Safety Officer;

ASUC – Academic Services and University Collections;

CCHS – Consultative Committee for Health and Safety;

DHR – Director of Human Resources;

DUSO – Director, University Safety Office;

DOHS – Director, Occupational Health Service;

DSO – Departmental Safety Officer;

H&S – Health and Safety;

HoDept – Head of Department;

HoDiv – Head of Division;

HSMC – Health and Safety Management Committee;

MPLS – Mathematical, Physical and Life Sciences;

OHS – Occupational Health Service;

PVC – Pro-Vice-Chancellor;

ToRs – Terms of Reference;

UCEA – Universities and Colleges Employers' Association;

UnSO – Unit Safety Officer;

USHA – Universities Safety and Health Association;

USO – University Safety Office.