## Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Item</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>DEFINITIONS</td>
<td>3</td>
</tr>
<tr>
<td>2</td>
<td>STATEMENT OF INTENT</td>
<td>3</td>
</tr>
<tr>
<td>3</td>
<td>REVIEW OF THIS GUIDANCE</td>
<td>4</td>
</tr>
<tr>
<td>4</td>
<td>MANAGERS RESPONSIBILITIES WITH QMUL</td>
<td>4</td>
</tr>
<tr>
<td>5</td>
<td>MANAGER RESPONSIBILITIES AS QMUL STAFF</td>
<td>4</td>
</tr>
<tr>
<td>6</td>
<td>HEALTH AND SAFETY REGULATIONS</td>
<td>5</td>
</tr>
<tr>
<td>7</td>
<td>HEALTH AND SAFETY MANAGEMENT PLAN</td>
<td>6</td>
</tr>
<tr>
<td>8</td>
<td>HAZARD IDENTIFICATION AND RISK ASSESSMENT</td>
<td>7</td>
</tr>
<tr>
<td>9</td>
<td>TRAINING AND COMPETENCE</td>
<td>10</td>
</tr>
<tr>
<td>10</td>
<td>ACCIDENT REPORTING AND FIRST AID</td>
<td>12</td>
</tr>
<tr>
<td>11</td>
<td>RECORD KEEPING</td>
<td>12</td>
</tr>
<tr>
<td>12</td>
<td>NEW AND EXPECTANT MOTHERS AND YOUNG PERSONS</td>
<td>13</td>
</tr>
<tr>
<td>13</td>
<td><strong>APPENDIX 1</strong> - SUMMARY OF HEALTH AND SAFETY LEGISLATION APPLICABLE TO WORK OR STUDY AT QMUL</td>
<td>14</td>
</tr>
<tr>
<td>14</td>
<td><strong>APPENDIX 2</strong> - HEALTH AND SAFETY GUIDE CHECKLISTS</td>
<td>26</td>
</tr>
<tr>
<td>15</td>
<td>DOCUMENT CONTROL</td>
<td>37</td>
</tr>
</tbody>
</table>
1. **Definitions**

1.1 For the purpose of this guidance note, the term ‘Manager’ is used to describe all Executive Deans, Heads of Schools/Institutes/Directorates, Department/Centre Leads, Faculty Operating Officers (FOOs), School/Institute/Directorate Managers, Heads of Administration or anyone that has control and responsibility for work areas or projects at QMUL.

1.2 In addition to the term ‘Department’ is used to describe all Academic Schools, Institutes and Professional Services Directorates.

2. **Statement of Intent**

2.1 The statement of intent of Queen Mary University of London (QMUL) is to provide and maintain safe and healthy working conditions, equipment and systems of work for its employees, students and visitors and provide such information, instruction, training and supervision as they need for this purpose. Consequently, sufficient money, time and resources need to be allocated to ensure that legal obligations of QMUL are met.

2.2 QMUL shall meet all legal requirements under health and safety legislation, (primarily the Health and Safety at Work etc Act 1974) and accept responsibility for the health, safety and welfare of both QMUL and other people who may be affected by our activities.

2.3 QMUL shall manage health and safety by:

2.3.1 providing adequate control of the health and safety risks arising from our work activities (through full risk assessment and risk analysis);

2.3.2 consulting with QMUL employees on matters affecting their health and safety;

2.3.3 providing and maintaining safe plant and equipment;

2.3.4 ensuring the safe storage, handling, transport and use of substances and work articles;

2.3.5 providing information, instruction and supervision for QMUL employees, students and visitors at all levels;

2.3.6 ensuring that all employees are competent to do their work,

2.3.7 providing all employees with adequate training;

2.3.8 maintaining safe and healthy working conditions;

2.3.9 continually monitoring health and safety performance and standards (through inspection and auditing);

2.3.10 ensuring that effective emergency procedures and health and safety business continuity planning are in place and effective;

2.3.11 ensuring full co-operation and co-ordination with external bodies where necessary, such as the emergency services and other employers who may share facilities and accommodation with QMUL;

2.3.12 Regularly reviewing and revising this Code of Practice as necessary.

QMUL will also take into account the health and safety of others who may be affected by what it does. Such people will include volunteers, visitors, contractors and members of the public.
3. **Review of this Guidance**

This guidance will be reviewed every three years by the Health and Safety Advisory Group, at which time all necessary changes in accordance with both legal developments and staff issues will be made. Following such review, the Code of Practice will be signed and immediately reissued to all QMUL staff.

4. **Managers Responsibilities with QMUL**

4.1 Managers are directly responsible for the health and safety of their own people and for ensuring that anyone else, including, students, visitors and contractors are not endangered by the work of QMUL.

4.2 In addition to their health and safety responsibilities as individuals within QMUL (below), Managers have specific duties which include to:

   4.2.1 Ensure that their people (staff, students and others) are adequately trained to carry out their work in a safe and healthy way.

   4.2.2 Ensure that their people have the correct equipment, materials and facilities to carry out their job.

   4.2.3 Obtain and pass on appropriate health and safety information and instruction.

   4.2.4 Ensure that their people follow safe work practices.

   4.2.5 Identify potential hazards (both physical and procedural) in the workplace, carry out risk assessment and ensure that suitable corrective action is taken where deficiencies are identified.

   4.2.6 Carry out safety monitoring checks.

   4.2.7 Ensure that when required their people have and correctly use appropriate personal protective equipment.

   4.2.8 Ensure that all accidents are reported promptly and investigated thoroughly, as needed with the assistance of the Health & Safety Directorate.

   4.2.9 Ensure that contractors are made aware of health and safety requirements required by QMUL.

   4.2.10 Ensure that all accidents and incidents are reported to QMUL via the My Safety - accident & incident reporting module (accessible [here](#)).

5. **Manager Responsibilities as QMUL Staff**

5.1 All people working on behalf of QMUL must:

   5.1.1 Take reasonable care for their own health and safety at work and that of others that may be affected by their work.

   5.1.2 Follow all health and safety measures put in place by QMUL (such as not eating in areas where eating is expressly forbidden and not interfering with the safety equipment) and those of any other organisation on whose premises we might be working.

   5.1.3 Not misuse or interfere with anything that has been provided in the interests of health and safety (such as misusing firefighting or first aid equipment or obstructing fire escapes, use of unsafe step ladders).
5.1.4 Immediately report anything which might present a danger to either themselves or anybody else to their line manager or appropriate person (e.g. Safety Coordinator) or department (Health & Safety Directorate).

5.2 The health and safety management of work activities is delegated to Managers. Managers are the key to making sure their work areas run well, comply with current legislation and do not cause illness or injury. They are likely to know more about the work they manage than anyone else, and should understand all of the risks involved.

5.3 They are usually seen as the people that QMUL can turn to for complete information (including health and safety information) about an activity. However, ultimate responsibility for ensuring that Managers carry out their responsibilities remains with the Principal and President of QMUL.

5.4 All QMUL Managers have duties under health and safety legislation. As employees, they must take reasonable care for their own safety, and for that of anyone who might be affected by their activities at work. They must also co-operate with QMUL to help comply with its legal duties. They carry a good deal of responsibility for making sure that all work activities under their direction do not jeopardise QMUL’s ability to comply with the law.

5.5 All QMUL managers should adhere to the QMUL H&S policy and this code of practice; refusing to comply with the policy requirements and/or this H&S code of practice could lead to disciplinary action, see ARCS or HR websites for QMUL disciplinary policies.

5.6 Good safety management and good work needs good preparation, and this includes thinking about health and safety. Managers need to understand what QMUL health and safety policies, safety procedures, codes of practice and any associated rules and guidance notes say. It is essential that they comply with the requirements of these policies, and attend any training required by QMUL that is necessary to help them understand their responsibilities.

5.7 Managers have an essential part to play in assessing the risks of their work, and ensuring their people do likewise. The significant findings of these assessments must be recorded. Before defining a system of work or agreeing to explore new areas and ideas they will need to consider how the new work might affect peoples’ health and safety. By establishing safe systems of work and implementing an effective safety management plan, Managers can do their part to help prevent ill health and accidents occurring.

5.8 The QMUL Director of Health and Safety and any other appointed health and safety personnel will be able to advise further on relevant legal requirements.

5.9 For more detailed information on the QMUL Health and Safety Policies and the responsibilities of staff at all levels please refer to health and safety framework document (QM_HS_001), which is downloadable from the Health and Safety intranet site: http://www.hsd.qmul.ac.uk/.

6. Health and Safety Regulations

6.1 There are very few absolute prohibitions in health and safety law. Modern legislation is goal setting rather than prescriptive and is unlikely to restrict the nature of any QMUL activity, although it will require Managers to work in a way that ensures the risks are properly and sensibly assessed and controlled.

6.2 The key legislation governing health and safety in the workplace is the ‘Health and Safety at Work etc. Act 1974’ (HSWA) which sets out the responsibilities of the Employer and the Employees, all of which are listed above in the ‘Managers Responsibilities’ section (section 4).

6.3 Supporting the HSWA, is an entire raft of health and safety legislation, covering general health and safety management as well as specific topics such as ‘Manual Handling’ or working with ‘Substances Hazardous To Health’. Summaries of the key regulations applicable to work at QMUL can be found in Appendix 1 of this document, with further more detailed information being available from the Health and Safety Directorate (Intranet or from the Health and Safety Managers/Advisors).
7. **Health and Safety Management Plan**

7.1 Managers within QMUL will be responsible for ensuring the implementation, management, improvement and continuous review of their own ‘Health and Safety Management Plan’. An overview of what Managers need to consider in their plans is shown below.

7.2 The ‘Health and Safety Management Plan’ consists of four distinct stages:

    7.2.1 *Plan*
    7.2.2 *Do*
    7.2.3 *Check*
    7.2.4 *Review*

7.3 **Plan**

7.3.1 Develop a process for identifying and understanding legislative and regulatory requirements that relate to the work area and include procedures for updating when QMUL or legislative requirements change.

7.3.2 Develop a robust framework for hazard identification, risk assessment and risk control – this forms the basis for the whole management plan.

7.3.3 Establish health and safety objectives and targets within the work area to ensure the QMUL health and safety policy and standards are achieved (the must be **Specific, Measurable, Achievable, Realistic, Time bound**).

7.3.4 Build objectives and targets into School, Institutes and Directorate management plans (a plan that defines what will be done, who will do what and by when).

7.4 **Do**

7.4.1 Define the roles, responsibilities and authorities of staff from within the work area with regard to health and safety.

7.4.2 Ensure appropriate training is provided to make sure people are competent to carry out the roles and task assigned to them.

7.4.3 Ensure there is effective internal and external communication.

7.4.4 Describe how the management system is structured and develop the necessary H&S processes and procedures.

7.4.5 Ensure that School/ Institute or Directorate health and safety documentation is controlled so that only current versions are in use.

7.4.6 Ensure that risk control measures are properly managed, including the development of appropriate procedures and the maintenance of all necessary health and safety records (e.g. risk assessments, standard operating procedures).

7.4.7 Establish, maintain and test a process for dealing with emergency situations within the work area.
7.5  **Check**

7.5.1 Develop and implement a process for monitoring and measuring health and safety performance within the work area – this will provide a mechanisms to determine progress towards achieving the department’s health and safety objectives.

7.5.2 Develop and implement procedures for handling and investigating accidents, incidents and non-conformance within the work area in order to eliminate the actual or potential cause.

7.6  **Review**

7.6.1 Management will need to ensure periodical review of their health and safety management system continues to be suitable and effective. This will include;

7.6.1.1 a review of performance against the department health and safety objectives (as well as those set by QMUL as a whole);

7.6.1.2 consideration of future changes of the activities and business of the department or work area;

7.6.1.3 the future health and safety management programme.

8.  **Hazard Identification and Risk Assessment**

8.1  **Hazard identification**

The first step in any assessment of risk is to identify the hazards present in the work area and from the work tasks. Hazards will be present regardless of the facilities available or the level of experience of the workers. Hazards may be related to the workplace where the work is going to be done, the nature of the work involved, or the working practices used. Most injuries at work result from everyday hazards such as those leading to slips, trips and falls, or those resulting from manual handling. But there may be other hazards that are specific to the project, such as the use of electrical equipment or work with flammable and hazardous substances.

The following, not necessarily comprehensive, list gives Managers an idea of the possible hazards that maybe encountered within their departments or arise as a result of their activities:

8.1.1 electricity

8.1.2 falling objects

8.1.3 fire and explosion

8.1.4 ionising radiations

8.1.5 manual handling

8.1.6 noise

8.1.7 non-ionising radiation

8.1.8 personal safety, including lone working

8.1.9 violence or aggressive behaviours, including bullying

8.1.10 pressure systems

8.1.11 slips, trips and falls
8.12 substances hazardous to health (chemical, biological)
8.13 transport of dangerous substances
8.14 work equipment
8.15 working environment
8.16 work-related upper limb disorders, e.g. from use of computers

Not all the above will present significant hazards in all situations. The purpose of a risk assessment is not to catalogue every potential hazard, rather, consider what could be expected to cause harm given reasonably foreseeable events and behaviour.

Managers need to ensure that their risk assessments concentrate on significant hazards which could result in serious harm or affect several people.

8.2 Risk Assessment

8.2.1 As stated above, risk assessment is a critical management tool for establishing the basis of any health and management system. Anyone who manages or supervises staff should be aware of their responsibility to carry out risk assessments on all workplace activities.

8.2.2 Virtually all health and safety regulations place a duty on the employer to carry out 'suitable and sufficient' assessments of workplace risks. The purpose of such assessments is to enable the employer to identify any actions required to reduce the risks and any actions necessary to comply with relevant statutory provisions.

8.2.3 Managers need to ensure that risk assessments are carried out by competent people from within their team (with reference to the Health and Safety Directorate as necessary). At the end of the process, those carrying out the assessment should understand how they or others might be hurt as a result of the project, and whether the proposed method and equipment do control the risk. The task of actually carrying out the risk assessment may be delegated to a competent member of staff, but the Manager still carries the responsibility to ensure that they have been done, and are of a satisfactory standard. Managers will need to take responsibility for all the assessments associated with their departments and work areas.

8.2.4 The process of risk assessment might involve the consideration of less well-known hazards, particularly when new processes are being undertaken or new materials being investigated. Managers and their teams are possibly the only people who know the work well enough to make valid judgements about risk, and should be prepared to justify their conclusions.

8.2.5 Initial risk assessment should be done before work starts, so it makes sense to think about this when planning and preparing for the task itself. Resources and facilities must be adequate to provide any necessary safeguards before any commitment to the task can be made, and the risk assessment will help ensure this.

8.2.6 The assessment should also consider the skills (including capability, competency) and experience of the team members. This may not be possible at the outset, as some team members may not have been recruited, but these factors must be taken into account, and the risk assessment revised, if necessary, at the earliest opportunity.

8.3 Risk judgement

8.3.1 When the significant hazards associated with a work activity have been identified, a judgement must be made about the risk they each present, i.e. how likely are they to cause harm? This will allow decisions to be made about reasonably practicable
ways of minimising the risk. This process is necessary even when the workers are considered to be very experienced.

8.3.2 How likely is it that any particular hazard will cause harm? Managers will need to ensure that consideration is given to everyone whose health and safety might be affected by the work; this could include contractors and other visitors. Some of the people may be more vulnerable to hazards than others, such as new and expectant mothers or any young persons (under the age of 18) that may be involved.

8.3.3 Defining how any harm might be caused will help to identify how risk is to be controlled. Managers should ensure that useful questions are asked and considered during this process such as:

8.3.3.1 What could go wrong?
8.3.3.2 Where is there likely to be a problem?
8.3.3.3 Who might be hurt?
8.3.3.4 Why might it happen?
8.3.3.5 When could it happen?
8.3.3.6 How could all this be avoided?

8.3.4 If Managers are unsure, then decisions about the level of risk can be made easier by consulting other competent people, such as QMUL Health and Safety Directorate and possibly external experts. The assessment process allows people to make decisions about what needs to be done to reduce the risk so far as is reasonably practicable. So it is important that when carrying out the assessment, Managers ensure that “informed” common sense is used.

8.3.5 This will ensure the use of appropriate control measures which do not inhibit the work unnecessarily.

8.4 Risk assessment records

8.4.1 Managers need to ensure that the significant findings of risk assessments must be recorded in all cases using the current QMUL MySafety system https://qmul.oshens.com/login/default.aspx. It is important that the records show that the aspects of a work activity that could cause ill health or injury have been identified. They should also clearly show what measures are being taken to eliminate or control the risks.

8.4.2 Managers must ensure that the information about the risks and how to control them must be shared with everyone working on the project, and all employees who might be affected by the work. Where people who are not employees are affected by the project they will also need information about health and safety precautions.

8.5 Risk control

8.5.1 Managers must take all reasonably practicable steps to make sure people will not be hurt or made ill by their work activities. There is a useful hierarchy of control measures that can help to identify the best way to minimise risks:

8.5.1.1 getting rid of specific hazards completely is the best strategy but often not possible;

8.5.1.2 substituting a less dangerous alternative (activity, substance or piece of equipment);
8.5.1.3 removing or controlling hazards in a way that will protect everyone;
8.5.1.4 controlling hazards by safe working procedures;
8.5.1.5 use personal protective for individuals - this is always the last resort.

For more information on risk assessment, evaluation and control, please see the Health and Safety Policy on risk assessment or contact the Queen Mary Health and Safety Directorate.

9. Training and Competence

9.1 Health and safety training has been required for many years for specific risks identified in legislation prior to the introduction of the HSWA. However, the HSWA introduced the requirement for more general training. Since 1974, health and safety legislation has embraced a wide range of activities and the majority of this legislation contains requirements for health and safety training.

9.2 By failing to train employees with regard to health and safety matters, QMUL commits an offence and can be prosecuted for breach of the HSWA s.2(2)(c) for which the maximum penalty is an unlimited fine and / or imprisonment not exceeding two years or both. See http://www.hse.gov.uk/enforce/enforcementguide/court/sentencing-penalties.htm#P3_349

9.3 A similar offence may lead to prosecution under regulation 11 of the Management of Health and Safety at Work Regulations 1999 (HSW1999) or prosecution for lack of training required by a specific set of regulations (e.g. the Manual Handling Operations Regulations 1992)

9.4 Following an accident or ill health at work, and any subsequent civil action, QMUL if found negligent may have to pay compensation for injury to employees where the lack of training materially contributed to the injury or ill-health.

9.5 Under the QMUL Health and Safety Policy and organisational framework, the responsibility for health and safety training within QMUL lies with the designated Manager. See http://hsd.qmul.ac.uk/Training/index.html for further details.

9.6 The Manager must ensure that their staff and visitors are provided with the information, instruction, training and supervision required to achieve a level of competence necessary to work in a safe and healthy manner. They must also ensure that:

9.6.1 Situations with the potential to cause harm are recognised.
9.6.2 Effective preventative and protective actions are designed and implemented.
9.6.3 Adherence to statutory and QMUL requirements and standards.
9.6.4 Adherence to agreed systems of work takes place.
9.6.5 Effective communication with staff and senior management is facilitated.
9.6.6 Effective supervision of staff and activities is in place.
9.6.7 Selection of suitable staff for tasks is facilitated.
9.6.8 Awareness of when and how to obtain further advice and assistance is facilitated.
9.6.9 Awareness of their own limitations in experience and knowledge is highlighted.
9.7 Delegation of day-to-day task for staff training and supervision may be carried out from the Manager, down to his/her senior staff but the overall responsibility remains that of the manager.

9.8 Any member of staff who carries responsibility for the management and direction of the work of others is responsible for ensuring that they are fully trained and competent to do the tasks they are being asked.

9.9 As a result of appropriate health and safety training Managers should ensure that staff are aware and comply with:

9.9.1 Relevant local arrangements and rules.

9.9.2 Aware of their own responsibilities and limitations.

9.9.3 Safe working practices.

9.9.4 Hazard identification and avoidance procedures.

9.9.5 How to report problems.

9.10 Managers need to ensure that ‘First Day’ health and safety training is provided to all new members of their teams. Such training should cover information on the following (not an exhaustive list) and refer to http://hr.qmul.ac.uk/forms/probation/:

9.10.1 Emergency exits in the work area.

9.10.2 Nearest alarm call points.

9.10.3 Nearest fire extinguishers and other emergency equipment.

9.10.4 Assembly point once evacuated.

9.10.5 Sounds of alarms.

9.10.6 Site emergency telephone numbers.

9.10.7 Location of nearest first aid box and list of first aiders.

9.11 Competency

9.11.1 The level of competence required by an individual should be directly related to the risk of the tasks being carried out. A number of elements contribute to that competency, training is one of them, appropriate selection and capability / experience are also important. Where necessary, limitations should be placed on individuals work activities until any defined competencies are achieved.

9.11.2 The first step in ascertaining competence is for the Manager to identify the limitations of an individual’s experience and abilities and to recognise when and where additional assistance is required.

9.11.3 The performance of those who are being trained for competence and those who are defined as competent should regularly be monitored and assessed by the Manager to ensure that the required standards are being achieved and maintained.

9.11.4 Some activities involving exposure to particularly hazardous environments or materials require specialised technical knowledge and training.
9.11.5 Competence may be partly demonstrated by the possession of a qualification. However the possession of a qualification does not of itself prove competency. Thus the Manager needs to ensure that training which is relevant specifically to departmental activities and hazards may be required.

9.11.6 Further advice is available from the QMUL Health and Safety Directorate.

10. **Accident Reporting and First Aid**

10.1.1 It is the QMUL policy that all accidents, dangerous occurrences or near misses, regardless of whether or not they result in injury or how minor, are reported and recorded in the QMUL My Safety - accident & incident reporting module (accessible at http://hsd.qmul.ac.uk/Accident%20Reporting/index.html)

10.2 It is a legal requirement that accident records are kept for 5 years.

10.3 Some accidents will require further investigation so keeping accurate records will assist in establishing the main and contributory causes as well as any measures required to prevent recurrence.

10.4 Under the Reporting of Injuries Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013 certain types of accidents and dangerous occurrences or near misses must be reported, by QMUL, to the enforcing authority. It is therefore essential that Managers ensure that all accidents / incidents are reported in the specified manner as soon as possible.

10.5 First Aid is the initial treatment given to someone who is injured or sick, prior to professional medical assistance arriving and taking over. The level of care required is set out in the Health and Safety (First Aid) Regulations 2013. QMUL goes beyond that outlined in these Regulations by extending care to students and site visitors, including on site QMUL sponsored events and off site fieldwork. It excludes contactors (e.g. building contractors) who are required to provide their own first aid provision unless an explicit agreement is made with QMUL.

10.6 Managers should ensure the provision of first aid cover within their areas of responsibility (including off site work such as fieldwork) and provide first aiders in their own areas with sufficient time, authority and support to carry out their duties and obtain training. Areas of responsibility can include a range of factors such as staff working at QMUL sites, staff who work off-site at non-QMUL sites or undertake fieldwork and events that may be co-ordinated by the Department. The level of provision is dependent on the risks presented. For example, in higher risk area there may be fully trained first aid aiders available as well as additional emergency first aiders to provide further support, whereas in a low risk area the provision may simply be ensuring that there are procedures outlining what action staff should take and they know who to contact and how.

10.7 In terms of off-site working (including fieldwork) a risk assessment should be undertaken for the activity which considers first aid provision. In some instances, first aid may be provided by a third party so if they were undertaking fieldwork or general work at another site, it may be that the site has their own trained first aiders and maybe happy to provide any first aid if required. However, this may not always be the case or may not be feasible so a check should always be carried out with them first. If this is not possible then there will need to be adequate provision such as ensuring a trained first aider attends, or an individual trained to self-administer first aid and provided with an appropriate first aid kit and means of communication to call for further assistance if required.

10.8 Further detail and information on QMUL First Aid system is [here](http://hsd.qmul.ac.uk/Accident%20Reporting/index.html).

11. **Record keeping**

11.1 Manager should ensure that the following records are kept on the QMUL MySafety system and where specified, on other QMUL systems, and are easily accessible:
11.1.1 Copies of all risk assessments made for the work being carried out.

11.1.2 Copy of the Queen Mary Health and Safety Policy Statement and supporting documentation.

11.1.3 Copies of staff health and safety training records (MyHR).

11.1.4 Copies of all control measure test certificates (i.e. test certificates for fume cupboards, demonstration equipment etc.) (QMUL Insurance database – CRIMSON, managed by QMUL Estates & Facilities and the QMUL Insurance Manager).

11.1.5 Copies of all equipment maintenance and test records (i.e. centrifuges, autoclaves, guillotines).

11.1.6 Other statutory documentation as advised by the QMUL Health and Safety Directorate.

12. New and Expectant Mothers and Young Persons

12.1 New and expectant mothers

12.1.1 Employers are required to take particular account of the risks to new and expectant mothers in their work activities (The Management of Health and Safety at Work Regulations 1999, MSHW). Under these regulations ‘new and expectant mothers’ is used to describe pregnant women, women who have just given birth and women who are breast feeding.

12.1.2 New and expectant mothers have a duty to protect themselves. Staff must notify their line manager in writing as soon as the pregnancy is confirmed. The line manager then needs to ensure that a specific risk assessment is carried out (using the form on the QMUL My Safety risk assessment module), consult with the Health and Safety Directorate on risk control measures, if required.

12.1.3 The assessment is made and forwarded to the QMUL Occupational Health Service. The assessment should examine the working environment and the work activities carried out to determine whether there are any risks present and what action is required if any to remove or reduce these risks. If risks cannot be avoided then the Manager must consider changes to the work pattern or duties. Where none of these options are available, the issue should be referred to the Head of Department and/or Executive Dean for that Faculty.

12.1.4 Further detail and information is available here.

12.2 Young persons

12.2.1 Also under the MHSW regulations, the Manager needs to ensure that an assessment of risk is carried out before anyone below the age of 18 commences training or employment within QMUL premises this includes work experience and placement students (template available on the QMUL My Safety risk assessment module).

12.2.2 Young people are seen to be particularly at risk because of their possible lack of awareness of existing or potential hazards, their immaturity and inexperience. Therefore work should only be undertaken as part of training where young people are properly supervised and risks are properly controlled.

12.2.3 Further detail and information is available here.
13. **Appendix 1 - Summary of Health and Safety legislation applicable to work and study at QMUL**

**Note** – Health and safety legislation is subject to continuous change, and the following listing is not exhaustive.

**Health and Safety at Work etc. Act 1974**

The Health and Safety at Work etc. Act 1974 (the Act) is the primary legislation governing health, safety and welfare at work.

**Section 2** of the Act makes it the duty of every employer to ensure, so far as is reasonably practicable, the health, safety and welfare at work of all his employees. This includes: provision and maintenance of plant and systems of work that are safe and without risk; and information, instruction and training.

**Section 3** extends this duty so that employers must also ensure, so far as is reasonably practicable, the health and safety of non-employees affected by the work activities.

**Section 7** makes it the duty of every employee while at work to take reasonable care for their own health and safety and of other persons who may be affected by their acts or omissions at work. Employees are also required to co-operate with their employer as regards any duty or requirement imposed by health and safety legislation.

**Section 8** makes it the duty of everyone not to interfere with, or misuse, anything provided in the interests of health, safety or welfare.

**Section 9** states that no employer can charge an employee for anything done or provided in accordance with health and safety legislation.

The Act and its associated Regulations are enforced by Inspectors from the Health and Safety Executive.

Inspectors have powers of entry and can take photographs, seize items, take samples, and take witness statements. Inspectors can also serve Improvement and Prohibition Notices and can prosecute companies and individuals.

**Management of Health and Safety at Work Regulations 1999**

These regulations are aimed at improving health and safety management and emphasise the need to develop a safety culture where the management of health and safety is fully integrated within the organisation.

**Employer’s key duties**

Employers are required to: assess the risk to health and safety of employees and to anyone else who may be affected by the work activity; make arrangements for putting into practice the preventive and protective measures that follow from the risk assessment; appoint competent persons to provide health and safety assistance; and, co-operate and co-ordinate with other employers where they share premises or workplaces.

**Employees' key duties**

Employees are required to: make full and proper use of any arrangements established by the employer for health and safety at work; and, report to the employer details of any work situation which might represent a serious or imminent danger.

**Main requirements of the regulations** (further detailed for QMUL [here](#))
Risk assessments should be carried out to identify hazards and evaluate the risks arising from them in order to establish the necessary control measures to ensure health and safety. In assessing the risks consideration should be given to all those who may be affected, including visitors and contractors. The significant findings of the assessment should be recorded. In deciding upon the measures to be taken, wherever possible the risk should be avoided altogether. Where this is not possible, the risk should be dealt with at source, prioritising measures which protect the whole workforce. Assessments should be revised if changes take place that suggest they are no longer valid. Control measures should be regularly reviewed for effectiveness as part of good health and safety management.

In carrying out risk assessments the employer should follow the General Principles of Prevention, which are to:

- avoid risks;
- evaluate the risks which cannot be avoided;
- combat the risks at source;
- adapt the work to the individual;
- adapt to technical progress;
- replace the dangerous by the non-dangerous;
- develop a coherent overall prevention policy;
- give collective protective measures priority; and,
- give appropriate instructions.

Competent persons should be appointed to provide health and safety assistance (QMUL Health and Safety Directorate). They must have adequate time and resources to carry out their functions. The appointment of competent persons does not remove employers’ legal responsibilities.

Emergency procedures should be established. An emergency plan should be drawn up in consultation with appropriate bodies, e.g. the emergency services, on-site security personnel. As a minimum, it should cover fire and loss of electrical power.

All employers need to co-ordinate their activities to ensure that temporary workers whether on fixed or short-term contracts are provided with essential information concerning the workplace and in particular any risks to their health and safety. Employers must also ensure that basic induction training is given and following changes of duties, equipment, work processes etc. Training should include emergency procedures, reporting procedures, risks in the work and the precautions needed.

Training will need to be repeated periodically to ensure continued competence. Health and safety information should be provided to contractors' staff where necessary.

Workplace (Health, Safety and Welfare) Regulations 1992

These regulations establish a consistent set of workplace standards across all industries.

Employers' key duties

Employers and others in control of workplaces are required to comply with a set of minimum health, safety and welfare requirements covering provision and maintenance of workplaces, which meet minimum standards on: ventilation; temperature in indoor workplaces; lighting (including emergency lighting); cleaning and decoration; room dimensions and space; suitability
of workstations; falls from heights and falling objects; glazing, windows and skylights; safe passage of pedestrians and vehicles; glazed doors and partitions; doors, gates and escalators; floors; sanitary conveniences; drinking water; seating; clothing storage; facilities for washing, changing and eating; rest area (and in separate rest areas and rest rooms non-smokers should be protected from tobacco smoke); rest facilities for pregnant women and nursing mothers.

**Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013**

The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) require certain injuries, dangerous occurrences and diseases arising out of or in connection with work to be notified to the enforcing authority.

Fatal and major injuries to employees, students or other non-employees should be reported immediately to the enforcing authority by telephone by the responsible person for the organisation* and confirmed in the online form. Other injuries to employees which involve an absence from work or incapacity for normal work for more than seven days should be reported within fifteen days. Reportable major injuries include acute illness requiring medical treatment which has resulted from exposure to a biological agent (e.g. blood borne pathogen such as HIV or Hepatitis B) or its toxins or infected material.

Cases of occupational ill health arising from work are also reportable.

Although not specifically required by RIDDOR, details of all, even minor, injuries at work and near misses should be recorded, with details of the immediate cause of the injury and of the action taken. Further details are [here](#).

*For QMUL, this is the Director of Health & Safety or their nominated competent person.

**Health and Safety (Display Screen Equipment) Regulations 1992 (as amended in 2002)**

The Health and Safety (Display Screen Equipment) Regulations 1992 were introduced with the aim of preventing ill-health to people who habitually use display screen equipment as part of their normal work (described as 'users').

Under these Regulations employers are required to:

- Carry out a suitable and sufficient assessment of workstations provided for work activity.
- Ensure that workstations meet the minimum requirement laid down in the Regulations.
- Ensure that employees have adequate breaks and changes in work routine.
- Provide users on request with an appropriate eye and eyesight test.
- Provide adequate health and safety training in the use of any workstation.
- Ensure that operators and users are provided with adequate information on health and safety with regard to the use of any workstation on which they are required to work.

Further details are [here](#).

**The Regulatory Reform (Fire Safety) Order 2005**

Employees must take reasonable care for the safety of themselves and of other relevant persons who may be affected by their acts at work, informing the employer or any other employee with specific responsibility for the safety of his fellow employees.
The purpose of the Regulatory Reform (Fire Safety) Order 2005 is to protect people from the risk of fire. It requires that:

- a full adequate and appropriate risk assessment is carried out for the premises;
- escape routes are maintained clear of obstruction and properly signposted;
- fire doors are maintained effectively self-closing and kept closed except when people trespassing through them;
- exits should be unlocked or secured so that they can be easily opened from the inside whenever people are present;
- the route beyond the fire exits should be unobstructed to allow escape to a place of safety;
- the means of fighting fire with which the premises are provided are maintained in efficient working order;
- any persons employed to work in the premises receive instruction or training in what to do in case of fire.

Employers' key duties

It is the Employers duty to make sure the workplace is safe by appointing a “responsible person” to carry out fire risk assessment relating to any premises and then act on the findings in order to minimise the risk to people by fire. Fire Safety / Protection Officers will audit the fire risk assessments and associated documentation.

Further details are here

The Health and Safety (First Aid) Regulations 1981 (as amended in 2013)

These regulations place a general duty on employers to make, or ensure that there is made, adequate first-aid provisions for their employees if they are injured or become ill at work. Employers must also inform their employees of the first-aid provisions made for them.

Further details are here

Health and Safety (Safety Signs and Signals) Regulations 1996

These regulations require employers to provide specific safety signs whenever there is a risk that has not been avoided or controlled by other means, e.g. by engineering controls and safe systems of work. The safety signs used need to comply with the requirements of British Standard BS 5378 Safety signs and colours; this includes the use of standard pictograms, supplemented by wording as appropriate; and following the colour scheme of:

Red for prohibition - e.g. No unauthorised entry;

![No Entry Symbol]

Blue for mandatory - e.g. wear protective eyewear;
Yellow for caution - e.g. laser hazard; and,

Green for safe condition - e.g. first-aid box.

Employers are required to maintain the signs they provide and to explain unfamiliar signs to their employees and tell them what to do when they see a safety sign. Details are here.

The Health and Safety (Training for Employment) Regulations 1990

These regulations give to those who are provided with 'relevant training' the same protection and duties as employees under the relevant statutory provisions of the Health and Safety etc. Act 1974. Such training includes work experience as part of a training course or training for employment, except where the work experience or training is provided directly by an educational establishment or is received under a contract of employment.

The Health and Safety Information for Employees Regulations 1989

These regulations require employers to provide each employee with essential basic information about the obligation of employers and employees relating to health, safety and welfare of people at work. This information must be provided in the form approved by the Health and Safety Executive (HSE), either as a poster displayed at the workplace or as a leaflet equivalent card provided to each employee (available here).

The Safety Representatives and Safety Committees Regulations 1977

If an employer recognises a trade union and that trade union has appointed, or is about to appoint, safety representatives under the regulations, then the employer must consult those safety representatives on matters affecting the group or groups of employees they represent. Members of these groups of employees may include people who are not members of that trade union.

Under the SRSCR 1977 the roles of trade union safety representatives are:

- to investigate possible dangers at work, the causes of accidents there and general complaints by employees on health and safety and welfare issues and to take these matters up with the employer;
to carry out inspections of the workplace particularly following accidents, diseases or other events;

- to represent employees in discussions with health and safety inspectors and to receive information from those inspectors; and

The employer must set up a safety committee if two or more trade union safety representatives ask for one.

**The Health and Safety (Consultation with Employees) Regulations 1996**

Under the Health and Safety (Consultation with Employees) Regulations 1996 employers have a duty to consult with employees (not covered by recognised trade unions) with regard to the introduction of any measures which may substantially affect their health and safety.

This will include the employer’s arrangements for appointing or nominating safety representatives; the provision of health and safety information; the planning and organisation of any health and safety training and the health and safety consequences to employees from the introduction of new technologies in the workplace.

**Environmental Protection Act 1990**

The Act and Regulations enacted under it (e.g. Environmental Permitting (England and Wales) Regulations 2010, Hazardous Waste (England and Wales) Regulations 2005 and amended in 2009, 2011 and 2016) makes provisions for the improved control of pollution arising from certain industrial and other processes. It contains a wide variety of provisions but those most relevant to the Queen Mary concern the use and disposal of genetically modified organisms and amend the Radioactive Substances Act 1993.

The Act makes provisions for general controls on the importation, acquisition, keeping, release or marketing of organisms, including requirements for risk assessment and notification. In addition, there are provisions for the appointment of inspectors and their powers and for fees payable in respect of applications for consents.

The Radioactive Substances Act 1993 concerns the appointment of inspectors, their powers and fees payable for registrations under the Act.


These regulations apply to any manual handling operations which may cause injury at work.

Such operations include not only the lifting of loads, but also lowering, pushing, pulling, carrying or moving them, whether by hand or other bodily force.

**Employers’ key duties**

Employers are required to:

- avoid hazardous manual handling operations so far as is reasonably practicable;
- assess those which cannot be avoided;
- reduce risk of injury so far as is reasonably practicable; and
- give employees general indications and, if reasonably practicable, precise information on the weight of each load.

**Employees’ key duties**
Employees must make full and proper use of any system of work provided.

General comments

All manual handling activities involving a risk of injury should be assessed and appropriate steps taken to remove or reduce the risk. Where necessary, safe means of access to heights should be provided that allow for the task in hand to be carried out, e.g. specialised step ladders with large platforms. Wherever possible, heavy or bulky loads should be handled using trolleys or other mechanical aids.

Alternatively, some loads can be made more manageable by splitting into smaller parts for transport. Unstable items such as gas cylinders should be well secured. Training should be given in safe manual handling techniques and in how to use any mechanical lifting or transporting aids provided. Further details on safe manual handling are here.

Provision and Use of Work Equipment Regulations 1998

These regulations are aimed at safeguarding the health and safety of employees from hazards arising from the provision and use of work equipment. They contain general requirements covering all hazards and specific minimum requirements on selected hazards.

Employer’s key duties

The employer must ensure that: work equipment is suitable for the purpose for which it is provided, and is properly maintained; information, instruction and training is given in the safe use and maintenance of equipment and what to do if things go wrong; there is suitable guarding for mechanical hazards; there is protection against rupture or disintegration; there is protection against burns and scalds from hot or cold equipment or its products; there are control devices which are visible, identifiable, marked and located outside danger zones and that control systems are safe; work equipment is stabilised, by clamping or other means, and that sufficient lighting is provided when the work equipment is used; where there are health and safety hazards, work equipment is marked clearly and incorporates warnings. See further details here.

Electricity at Work Regulations 1989

These regulations require precautions to be taken against the risk of death or personal injury from the use of electricity in work activities.

Regulation 6 of the Electricity at Work Regulations requires that electrical equipment which may be exposed to adverse conditions should be of such construction or so protected as to prevent the danger that may arise from such exposure.

The arrangements for inspection and testing of electrical equipment by a competent person should include reliable defect reporting and record keeping systems. Maintenance or repair should only be undertaken by a competent person. Further details are here.

Control of Substances Hazardous to Health Regulations 2002

These regulations provide a legal framework to help protect people in the workplace against health risks from hazardous substances. They require employers to assess the risks to health when work is liable to expose anybody to a substance hazardous to health. Employers must also comply with the other requirements of the Regulations as regards preventing or controlling exposure; examining, testing and maintaining the control measures; monitoring exposure; providing health surveillance; and information, instruction and training.

Main requirements of the regulations

The risk assessment needs to consider what substances are hazardous to health; how are they hazardous; and, what measures are required to prevent or control exposure. The assessment, which needs to be recorded and readily available, will be regarded as suitable and sufficient if
the detail and expertise with which it is carried out are commensurate with the nature and degree of risk arising from the work, as well as the complexity and variability of the process.

In the Regulations a substance hazardous to health is defined as: a substance listed in Classification Labelling and Packaging (CLP) Regulation 2009 as a carcinogen; mutagen, reproductive toxin or other specific health hazard, toxic, harmful / irritant / sensitiser, or corrosive with a classified level of risk; a substance with a Work Exposure Limit (WEL); a biological agent; dust of any kind when present at a substantial concentration in the air; any other substance which creates a comparable hazard to health to any of the above.

Substances can be hazardous to health through: inhalation; ingestion; absorption through the skin or eyes; or, injection; and can cause: acute or chronic illness (including cancer); disease; sensitisation; or, allergic reaction.

The best method of control is to eliminate the hazardous substance or replace it with one that is less hazardous. If this cannot be achieved then engineering controls, administrative controls, or personal protective equipment (PPE) must be used to reduce the risk. The use of PPE is only a permissible approach if it is not reasonably practicable to achieve adequate control by other means alone or in combination. Sometimes adequate control can only be achieved through a combination of all or some of these methods. Engineering controls include: total enclosure (glove box); partial enclosure (fume cupboard); Local Exhaust Ventilation; and, general ventilation. Control measures need to be checked regularly to ensure they are being properly used, and they need to be maintained in an efficient state, in effective working order and in good repair. One of the most important administrative controls is Good Laboratory Practice based upon: no eating, drinking, smoking, chewing, application of cosmetics, taking of medication; wearing suitable protective clothing; good personal hygiene; clearing up spillages promptly; and, knowing the appropriate emergency procedures.

The risk assessment needs to cover emergency procedures including: the means for dealing with leaks, spills or uncontrolled releases; safe disposal of substances and contaminated materials; and, the provision of sufficient suitable personal protective equipment.

Atmospheric sampling may be required to: monitor failure of control measures; ensure the Workplace Exposure Limit (WEL) is not exceeded; and, check on control measures.

Health surveillance may be required to: protect the health of individuals by detection of adverse effects at early stages; evaluate the effectiveness of control measures; detect and evaluate hazards to health; and, assess immunological status.

Information, Instruction, and Training are needed on: the nature and degree of risks to health; how to use control measures; the reasons for personal protective equipment; monitoring procedures; the role of health surveillance; and, emergency procedures.

The Classification, Labelling and Packaging (CLP) Regulation 2009

Following international agreement on a Globally Harmonised System on the classification and labelling of chemicals (‘GHS’), countries were invited to adopt the GHS criteria into national legislation. European Union (EU) Member States asked the European Commission to prepare a proposal for a Regulation which would adopt the UN GHS criteria in all EU Member States. The European Commission proposed the Regulation on Classification, Labelling and Packaging of Substances and Mixtures (known as the CLP Regulation). The Regulation applies to the classification of substances (single chemicals) from 1 December 2010 and to the classification of mixtures (formally termed ‘preparations’) from 1 June 2015.

The aim of the GHS is to have, worldwide, the same:

- criteria for classifying chemicals according to their health, environmental and physical hazards; and
- Hazard communication requirements for (i) labelling and (ii) safety data sheets.
The pictogram below refers to less serious health hazards such as skin irritancy/sensitisation and applies to many circumstances where the old classification ‘harmful or irritant’ (under CHIP) symbol is applied.

![Pictogram]

The pictogram left below reflects serious longer term health hazards such as carcinogenicity and respiratory sensitisation.

![Pictogram]

The pictogram right above refers to gases under pressure.

The full set of pictograms and details of classification are available at [here](#).

See the following QMUL H&S topic webpages for further details:
- [Chemicals and substances hazardous to health](#)
- [Biological Agents](#)
- [Laboratory Hazardous Waste](#)
- [Cryogenic Liquids and Solids](#)
- [Laboratory Safety](#)

**Genetically Modified Organisms (Contained Use) Regulations 2014**

These regulations are intended to protect people’s health and the environment from risks associated with the contained use of genetically modified organisms. There are separate regulations dealing with organisms that are deliberately released into the environment. Contained use is defined as any operation in which organisms are genetically modified or in which genetically modified organisms are cultured, stored, used, transported, destroyed or disposed of, and where physical barriers are used to limit their contact with the general population and the environment.

The regulations apply to anybody carrying out contained used work, whether the person concerned is an employer, a self-employed person or someone who is not employed, such as a student.

Any person carrying out contained use work is required to: carry out an assessment of the risks to human health and to the environment and keep records; establish a local genetic modification safety committee to advise on risk assessments; classify all operations and organisms used, according to the scheme set out in the regulations; notify the HSE of the intention to use the premises, individual activities carried out on the premises, and in certain cases seek consent prior to starting work; adopt controls, including suitable containment measures; and, draw up emergency plans.

The Health and Safety Executive publish detailed guidance on requirements for work involving genetically modified organisms through the Scientific Advisory Committee on Genetic Modification. See further details [here](#) and the QMUL topic page [here](#).

**Ionising Radiation Regulations 1999**
Workers may be exposed to ionising radiation from particular types of equipment or from the use of isotopes. All work of this nature is regulated by the Ionising Radiation Regulations 1999 and some will also fall under the Radioactive Substances Act 1993 / Environmental Permitting Regulations 2010.

Where work with ionising radiation is to be carried out, careful reference should be made to the Regulations and associated Approved Code of Practice to determine whether parts of the facility should be designated as 'controlled' or 'supervised' areas. The employer will have appointed a Radiation Protection Adviser (RPA) under the Regulations and this person should be consulted.

Local Rules and risk assessments for work with ionising radiation must be drawn up and brought to the attention of employees and others who might be affected. The RPA should be involved in drawing up procedures for the use of ionising radiation and the controlled disposal of radioactive materials, and in monitoring those procedures. Radiation Protection Supervisors are appointed to ensure compliance with the Local Rules. Disposal of radioactive waste should be only by authorised routes.

**Environmental Permitting Regulation 2010 / Radioactive Substance Act 1993**

This act requires that all keepers and users of radioactive substances must be registered and prohibits unauthorised accumulation and disposal of radioactive waste.

See further details for ionising radiation here.

**Personal Protective Equipment Regulations 1992**

These regulations cover equipment and clothing worn or held by people at work to protect them against risks to their health and safety. They set out requirements for assessing, selecting, providing, maintaining and using personal protective equipment (PPE). PPE should always be regarded as a last resort. Steps should first be taken to prevent or control risk at source by making machinery or processes safer and by using engineering controls and safe systems of work.

**Employers' key duties**

Employers are required to: assess risks to health and safety which have not been avoided by means other than PPE, to determine whether PPE provided and proposed is 'suitable'; provide suitable PPE, free of charge, to protect employees against risks that have not been controlled by other means; take all reasonable steps to ensure that PPE is properly used; maintain PPE in clean and efficient working order, replace it as necessary and provide appropriate storage for PPE when it is not in use; and, provide employees with comprehensible information, instruction and training to enable them to make efficient use of PPE.

**Employees' key duties**

Employees are required to: make full and proper use of PPE provided and report any loss or obvious defect in PPE to their employer.

**General comments**

'Suitable' PPE is: appropriate for the risk; takes account of ergonomics and the health of wearers; fits the wearer correctly; effectively controls identified risks without increasing risks elsewhere; and, is compatible with any other types of PPE which needs to be worn for a particular activity. See further details here.

**The Control of Noise at Work Regulations 2005**

Significant noise may be produced by some machinery. The risk to hearing depends on both the noise level and the length of exposure to it. Where it is likely that exposure levels will reach
or exceed 80 dB(A) (and this should be suspected when normal conversation becomes difficult), a noise assessment will need to be carried out by a competent person.

The Control of Noise at Work Regulations stipulate three action levels, the first at a daily personal noise exposure of 80 dB(A) and the second at 85 dB(A). The third is a peak sound pressure of 200 Pascals. If the first is reached or exceeded, employees should be informed and hearing protection made available. If the second or peak action levels are reached or exceeded, measures should be taken to reduce noise exposure by means other than by hearing protection whenever reasonably practicable, e.g. by substitution of noisy processes, engineering controls. Where workers remain exposed to these levels, hearing protection must be provided and used.

**The Control of Vibration at Work Regulations 2005**

The regulations introduce action and limit values for hand-arm and whole-body vibration to limit ill health and injury by use of equipment or tools with vibration. An exposure action value of 2.5 m/s\(^2\) A(8) at which level employers should introduce technical and organisational measures to reduce exposure and exposure limit value of 5.0 m/s\(^2\) A(8) which should not be exceeded.

**Control of Electromagnetic Fields at Work Regulations 2016**

An electromagnetic field (EMF) is produced whenever a piece of electrical or electronic equipment (ie TV, food mixer, computer, mobile phone etc) is used. EMFs are static electric, static magnetic and time-varying electric, magnetic and electromagnetic (radio wave) fields with frequencies up to 300 GHz. If an EMF is of high enough intensity (e.g. from some radar and radio transmitters, dielectric heating e.g. vulcanising, plastics welding or microwave drying, magnetic resonance equipment in clinical or research laboratories) an employer may need to take action to make sure workers are protected from any adverse effects.

Steps should be taken to identify sources of high intensity EMFs in the workplace; assess the potential exposure of employees to such high intensity EMFs; deciding what is needed to protect workers from the risk arising from exposure to EMFs. See further details [here](#).

**The Control of Artificial Optical Radiation (AOR) at Work Regulations 2010**

Optical radiation is another term for light, covering ultraviolet (UV) radiation, visible light, and infrared radiation. The greatest risks to health are probably posed by UV radiation from the sun, from certain work equipment and tools (e.g. UV trans-illuminator in a laboratory, arc welding equipment in construction and welding) and certain light sources (high powered projection or task lighting). Exposure of the eyes to UV radiation can damage the cornea and produce pain and symptoms similar to that of sand in the eye. The effects on the skin range from redness, burning and accelerated ageing through to various types of skin cancer. The misuse of powerful lasers: High-power lasers can cause serious damage to the eye (including blindness) as well as producing skin burns.

Steps should be taken to eliminate the use of such sources where possible, look for alternatives, use engineered measures – enclosure, controlled areas, interlocks, remote controls, screening, clamps to hold material, restricted access to dangerous areas, provide personal protective equipment specific to the hazard, person and task, provide information and training, display appropriate warning signs. Monitor and enforce use of control measures. If any workers are likely to be exposed, provide medical examination and follow-up health surveillance. See further details [here](#).

**The control of legionella bacteria in water systems: Approved Code of Practice and guidance on regulations 2013**

Legionnaires’ disease is normally contracted by inhaling small droplets of water (aerosols), suspended in the air which contain legionella bacteria. This bacteria is widespread in natural water systems, e.g. rivers and ponds but the conditions are rarely conducive for people to catch the disease from these sources. Outbreaks of the illness occur when exposure to legionella growing in purpose-built systems where water is maintained at a temperature high enough to encourage
growth, e.g. cooling towers, evaporative condensers, hot and cold water systems and spa pools used in all sorts of premises (work and domestic).

Employer’s key duties include identifying and assessing sources of legionella exposure risk, preparing a scheme to prevent or control risk, implementing, managing and monitoring precautions, keeping records of precautions and appointing a manager to be responsible for others. See further details here.

The Control of Asbestos Regulations 2012

Asbestos can be found in any building built before the year 2000 (houses, factories, offices, schools, hospitals etc) and causes around 5000 deaths every year due to mesothelioma, lung cancer and asbestosis. The regulations require the employer to designate a duty holder, and for that duty holder to take reasonable steps to find out if there are materials containing asbestos in non-domestic premises, and if so, its amount, where it is and what condition it is in; make, and keep up-to-date, a record of the location and condition of the asbestos-containing materials; or materials which are presumed to contain asbestos; assess the risk of anyone being exposed to fibres from the materials identified; prepare a plan that sets out in detail how the risks from these materials will be managed; take the necessary steps to put the plan into action; periodically review and monitor the plan and the arrangements to act on it so that the plan remains relevant and up-to-date and provide information on the location and condition of the materials to anyone who is liable to work on or disturb them. See further details here.

Further University sector codes of practice and guidance on health & safety management, leadership and specific topics are available at:


https://www.usha.org.uk/

http://www.istr.org.uk/
Appendix 2 - Managers Health and Safety Guide Checklist

Managers Health and Safety Guide Checklist

Using this Checklist

This framework checklist has been adopted from the Universities and Colleges Employers Association (UCEA) publication titled ‘Leadership and Management of Health and Safety in HEIs’. The document sets out the standards to be achieved by all Managers in Higher Education Institutions (HEI). Therefore, it is strongly recommended that QMUL Managers use this checklist to help them understand their legal duties and demonstrate their visible commitment to the success of the health and safety management system at QMUL. The checklist is based on the broad principles of the management system approach: Plan, Do, Check, Review.

This framework checklist describes principles and practices which managers will need to apply in order to demonstrate good health and safety management. For each tier of management*, there is a page section that can be used independently from the rest of the document. These stand-alone sections provide example behaviours, actions or processes that demonstrate leadership and management commitment at that tier level. They also provide guidance on what advice and support can be provided by Health and Safety professionals and appointed persons (i.e. Safety Coordinator). Further expanded guidance is provided within the QMUL ‘Health and Safety Code of Practice and Guidance for Managers’ document (this document).

Throughout the document, the terms 'ensure' and 'must' are used to identify essential behaviours and traits of effective health and safety management. The document also refers to existing HSE and sector literature, provided through hyperlinks.

* (A) Governing Body – page 27
(B) Leadership Executive Team – page 28
(C) Senior Managers – page 30
(D) Line Managers – page 33
(E) Supervisory Staff – page 35
<table>
<thead>
<tr>
<th><strong>(A) Governing Body (QMUL Council)</strong></th>
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<tr>
<td><strong>Plan</strong></td>
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**What to expect from the Director of Health and Safety?**

- Annual reports on QMUL health and safety performance
- Briefing sessions or papers on significant events, change to legal requirements
- Formal or informal training/legal update for QMUL Council
- Submission of [Higher Education Statistics Agency (HESA)](#) data
- Provision of contextual information about comparisons with sector norms and statistical information
### (B) Leadership Executive Team
(Queen Mary Senior Executive, QMSE)

<table>
<thead>
<tr>
<th><strong>Strategic Management</strong></th>
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<td><strong>Plan</strong></td>
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<tr>
<td>Establish a suitable Health and Safety committee/advisory group.</td>
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<td>Sign up to QMUL’s Health and Safety Policy statement as a demonstration of ownership and communicate its values throughout QMUL.</td>
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<td>Agree how the Policy will be measured, monitored and reported.</td>
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<td>Allocate sufficient resources to the management of health and safety.</td>
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<td>Set health and safety objectives for the leadership team.</td>
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<td>Consider the health and safety implications of strategic decisions, such as large projects.</td>
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<td>Ensure that occupational health is integrated into QMUL’s health and safety management system.</td>
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<td>Determine what health and safety risks should be included in the QMUL risk register.</td>
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<td>Ensure emergency procedures encompass all significant risks (situational / procedural and physical hazards).</td>
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<td>Agree a health and safety internal auditing program based on QMUL’s health and safety risk profile.</td>
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<td><strong>Do</strong></td>
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<tr>
<td>Implement the QMUL Health and Safety Policy through direction.</td>
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<tr>
<td>Have regular communication meetings with the Director of Health and Safety.</td>
</tr>
<tr>
<td>Define the membership (including trade union representation) and Terms of Reference of the Health and Safety Advisory Group/Committee.</td>
</tr>
<tr>
<td>Chair the QMUL Health and Safety Advisory Group/Committee.</td>
</tr>
<tr>
<td>Lead on campaigns to raise health and safety awareness and behaviour change.</td>
</tr>
<tr>
<td>Discuss health and safety issues and performance with your direct reports at appraisals.</td>
</tr>
<tr>
<td>Lead by example e.g. take an interest in health and safety activities.</td>
</tr>
<tr>
<td>On tours or visits, follow local procedures and ask about health and safety issues and how they are managed.</td>
</tr>
<tr>
<td><strong>Check</strong></td>
</tr>
<tr>
<td>Enquire with your direct reports as to whether appropriate health surveillance is in place for occupational illnesses.</td>
</tr>
<tr>
<td>Confirm that your direct reports are aware of inspections and investigations in their areas, and any actions that are required from recommendations (through MySafety system).</td>
</tr>
<tr>
<td>Attend at minimum, one inspection a year in your Faculty/Area during the year.</td>
</tr>
<tr>
<td>Review deployment of resources e.g. are they sufficient, competent and effective.</td>
</tr>
</tbody>
</table>
Receive and review performance data such as Key Performance Indicators (KPIs) set for health and safety.

Check if you are delivering on your own objectives and those set by your leadership team. Use the QMUL e-appraisal process for this.

<table>
<thead>
<tr>
<th>Review</th>
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<tbody>
<tr>
<td>Review your health and safety performance and that of your direct reports. Take enabling corrective action where targets are not being met.</td>
</tr>
<tr>
<td>Share the results with staff and students - seek their views on improvements.</td>
</tr>
<tr>
<td>Celebrate their achievements (e.g. via QMUL Health and Safety Awards)</td>
</tr>
<tr>
<td>Respond to reports, audits, Health and Safety Advisory Group / Committee recommendations and inspections from external and internal stakeholders’ e.g. insurance providers, external auditors such as KPMG, trade union safety representatives, regulators and Health and Safety Directorate staff.</td>
</tr>
<tr>
<td>Use the information to review your planning process (e.g. within the QMUL Planning &amp; Accountability Review, PAR)</td>
</tr>
</tbody>
</table>

**What to expect from the Director of Health and Safety?**

- Annual reports and / or quarterly reports on health and safety
- Briefing sessions or papers on significant events, change to legal requirements
- Facilitate and advise on the development of a health & safety risk register
- Contextual information about comparisons with sector norms and statistical information e.g. Universities Safety and Health Association (USHA) / HESA data
- Develop a health and safety competency and training framework
- Internal health and safety audits based on a programme agreed with the leadership team
- Advice on interpretation of health and safety legislation (HSE) and sector best practice

**Weblinks**

QMUL Health & Safety Directorate [http://www.hsd.qmul.ac.uk/](http://www.hsd.qmul.ac.uk/)
Health & Safety Executive [http://www.hse.gov.uk/](http://www.hse.gov.uk/)
USHA [https://www.usha.org.uk/](https://www.usha.org.uk/)
### Operational / Strategic Management

**Plan**

<table>
<thead>
<tr>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Align your Faculty/School/Institute/Directorate or Department health and safety plan to the QMUL Health and Safety Strategy.</td>
</tr>
<tr>
<td>Include appropriate health and safety risks in your Faculty/Area or department business risk register.</td>
</tr>
<tr>
<td>Define the membership (including trade union representation) and terms of reference for your local health and safety management group/committee.</td>
</tr>
<tr>
<td>Ensure staff consultation involves all appropriate stakeholders including trade unions representatives and student representatives.</td>
</tr>
<tr>
<td>Ensure that induction arrangements include all relevant information for all new starters (staff and students, including visitors, contractors and short term / agency staff).</td>
</tr>
<tr>
<td>Plan your arrangements to manage health and safety e.g. set up committee meetings, monitoring processes, and identify training, competency and development needs.</td>
</tr>
<tr>
<td>Assign sufficient resources (competent personnel, with enough time and facilities). Include specialist support from Occupational Health, Radiation Protection Advisers, Biosafety specialists etc where you need to.</td>
</tr>
<tr>
<td>Plan arrangements to ensure the health and safety of all persons who may be affected, including contractors, students and visitors.</td>
</tr>
</tbody>
</table>

**Do**

<table>
<thead>
<tr>
<th>Action</th>
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<tbody>
<tr>
<td>Ensure all hazardous activities/areas/equipment are appropriately risk assessed and controls are implemented (using the MySafety system).</td>
</tr>
<tr>
<td>Ensure responsibilities are delegated and understood for tasks such as the completion of risk assessments.</td>
</tr>
<tr>
<td>Chair, or ensure that one of your senior managers chairs your local Health and Safety group/committee; attend the committee.</td>
</tr>
<tr>
<td>Produce and communicate your annual Health and Safety Plan.</td>
</tr>
<tr>
<td>Have a regular communication meeting with your Faculty or Professional Service (PS) H&amp;S Manager/Adviser.</td>
</tr>
<tr>
<td>Have oversight of accident and incident investigations.</td>
</tr>
<tr>
<td>Agree health and safety competency and development needs of all your staff and set training objectives e.g. using a training matrix (within the QMUL Health and Safety Training Policy or from MyHR training module) or competency development framework agreed with your senior team.</td>
</tr>
<tr>
<td>Assess the health and safety impact of new projects at planning stages e.g. when proposing refurbishment of an area or procurement of an IT system or research equipment.</td>
</tr>
<tr>
<td><strong>Check</strong></td>
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</tr>
<tr>
<td>Attend health and safety inspections of your area at appropriate intervals.</td>
</tr>
<tr>
<td>Check that agreed health and safety training objectives are being met. Use the QMUL appraisal process to assist you.</td>
</tr>
<tr>
<td>Analyse health and safety information data to identify emerging trends in the Faculty/Area such as accident, sickness absence, training data.</td>
</tr>
<tr>
<td>Keep staff informed by monitoring progress and actively seek their views on improvements e.g. via your local health and safety management group/committee.</td>
</tr>
<tr>
<td>Check <strong>MySafety</strong> (OSHENS) system that all actions and recommendations from health and safety processes e.g. audits and inspections, accident investigations are implemented.</td>
</tr>
</tbody>
</table>

**What to expect from your Faculty/PS Health and Safety Manager/Adviser**

*This should be a joint approach with significant contributions from local safety appointments such as safety coordinator and especially for specific hazards as required from Radiation Protection Supervisor (RPS), first aiders, fire marshals, Display Screen Equipment (DSE) Assessors, etc. and support from centrally based individuals or teams with expertise.*

- Communications about significant events, changes to legal requirements of relevance to your Faculty/School/Institute/Directorate
- Attendance at health and safety management group/committees or other meetings where health and safety is discussed
- Facilitate and advise on the development of an area health and safety risk register
- Information about accidents and incidents occurring in your Faculty/School/Institute/Directorate
- Guidance on how to investigate incidents and health & safety issues
- Action plans and recommendations from investigations
- Advice on management actions and proportionate responses to incidents
- Advice on interpretation of health and safety legislation and best practice
- Training courses or delivery of presentations and information
- Assistance to managers during external audits, inspections, regulatory visits etc

**Weblinks**
QMUL Health & Safety Directorate  [http://www.hsd.qmul.ac.uk/](http://www.hsd.qmul.ac.uk/)
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USHA  [https://www.usha.org.uk/](https://www.usha.org.uk/)
<table>
<thead>
<tr>
<th>(D) Line Managers (line managers and/or project &amp; process managers)</th>
<th>Operational Management</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plan</strong></td>
<td>Set reasonable objectives to cover your area of responsibility, including allocation of work on risk assessments based on your senior manager's plan.</td>
</tr>
<tr>
<td></td>
<td>Develop or use existing communication processes (e.g. team meetings) to keep your team informed, and receive health and safety information back from team members.</td>
</tr>
<tr>
<td></td>
<td>Plan deployment of resources to achieve your health and safety objectives such as replacing old equipment, training etc.</td>
</tr>
<tr>
<td><strong>Do</strong></td>
<td>Implement your local Health and Safety Policy and arrangements.</td>
</tr>
<tr>
<td></td>
<td>Carry out the Health and Safety Plan and objectives.</td>
</tr>
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<td></td>
<td>Ensure risk assessments are undertaken and recorded on MySafety, and that staff, contractors and students are implementing all safe systems and control measures.</td>
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<tr>
<td></td>
<td>Provide induction training for all staff (including temporary / agency) and students in accordance with your training and competency framework.</td>
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<td></td>
<td>Ensure any new processes are properly risk assessed before implementation.</td>
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<tr>
<td></td>
<td>Ensure all new equipment is checked for hazards, and users are trained on safe systems of work and risk control measures.</td>
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<td></td>
<td>Implement your health and safety training objectives identified in your health and safety plan or from your risk assessments.</td>
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<td></td>
<td>Provide staff and postgraduate students with health surveillance if identified in risk assessments.</td>
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<td></td>
<td>Lead a programme of inspections and be involved in audits when asked.</td>
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<td></td>
<td>Lead on investigations into accidents and other reports (e.g. near misses).</td>
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<td></td>
<td>Take appropriate action when health and safety is likely to be compromised; if necessary, suspending an activity pending re-assessment of the risk.</td>
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<tr>
<td></td>
<td>Keep yourself up to date with health and safety requirements for your area of responsibility. Use QMUL Health and Safety Policies, Procedures, and UCEA &amp; USHA guidance on specific sector risks to support you.</td>
</tr>
<tr>
<td></td>
<td>Have an annual program for statutory testing of equipment, as required for local exhaust ventilation, pressure systems, lifting equipment (Using QMUL Crimson System).</td>
</tr>
<tr>
<td><strong>Check</strong></td>
<td>Check your own progress and achievements against your Health and Safety plan and objectives.</td>
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<tr>
<td></td>
<td>Monitor your training plans and safety inductions (on MyHR). Use the QMUL e-appraisal process for this.</td>
</tr>
<tr>
<td>Activity</td>
<td>Description</td>
</tr>
<tr>
<td>----------</td>
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</tr>
<tr>
<td>Analyse safety information data</td>
<td>to identify emerging trends in your area of responsibility e.g. accidents, sickness absence, training data.</td>
</tr>
<tr>
<td>Report on findings</td>
<td>of inspections and actions undertaken to the local health and safety management group/committee. Use your health and safety information data from MySafety (OSHENS) system to present information and discuss trends.</td>
</tr>
<tr>
<td>Review</td>
<td>Review actions arising from audits to ensure they have been completed or progress is being monitored.</td>
</tr>
<tr>
<td></td>
<td>Embed learning points from accidents and incidents.</td>
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<tr>
<td></td>
<td>Contribute to your Faculty/School/Institute/Directorate annual health and safety review.</td>
</tr>
<tr>
<td></td>
<td>Respond to external influences such as Health &amp; Safety Executive (HSE) or other regulatory body visits, audits and changes in legal requirements.</td>
</tr>
<tr>
<td></td>
<td>Use the information to review your planning process. (e.g. within the QMUL Planning &amp; Accountability Review, PAR)</td>
</tr>
</tbody>
</table>

What to expect from your Faculty/PS Health and Safety Managers and your appointed role holders.

- Communications about significant events, changes to legal requirements of relevance to your Faculty/School/Institute/Directorate
- Attendance at local health and safety management group/committees or other meetings where health and safety is discussed
- Information about accidents and incidents occurring in your Faculty/School/Institute/Directorate
- Participation in discussions to resolve local health and safety issues
- Action plans and recommendations from investigations
- Advice on management actions and proportionate responses to incidents
- Advice on interpretation of health and safety legislation and best practice
- Training courses or delivery of presentations and information
- Assistance to managers during audits, inspections, etc.

Weblinks
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Health & Safety Executive [http://www.hse.gov.uk/](http://www.hse.gov.uk/)
USHA [https://www.usha.org.uk/](https://www.usha.org.uk/)
| (E) Supervisory Staff  
(Principal and Junior Investigators (PIs, JIs)/Researchers, lab managers, technicians and/or other Supervisory Staff in PS) |  |
<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>Operational Management</strong></td>
<td></td>
</tr>
</tbody>
</table>
| **Plan** | Ensure that you understand the local Health and Safety Policy and procedures.  
Plan any skill, knowledge or refresher training for yourself and your team, and students where appropriate, based on Faculty/School/Institute/Directorate training objectives and competency framework (utilise MyHR and the QMUL e-appraisal system).  
Think about how procedures based on risk assessments can be effectively communicated.  
Plan your resources and ensure all staff and students understand what is expected of them. |
| **Do** | Ensure staff and students are aware of and follow all relevant safe systems  
Ensure visitors and contractors are provided with relevant health and safety inductions and information  
Develop clear and concise procedures and include key health and safety information within them.  
Implement aspects of the Health and Safety plan that relates to your area  
Ensure that you and your team, and students where appropriate, have received induction training and relevant training appropriate to their activities/studies.  
Raise any issues of non-conformance through your line-management structure.  
Be involved in local area inspections and local safety groups/committees  
Provide feedback on health and safety issues.  
Carry out accident/incident/near miss investigations. |
| **Check** | Ensure your risk assessments have been carried out, are up to date, recorded on MySafety (OSHENS), and that control measures are effectively implemented and understood.  
Ensure your actions arising from audits and inspections (on MySafety) have been completed or monitor progress.  
Check that you are meeting the Health and Safety Plan and objectives. |
| **Review** | Provide feedback on your Health and Safety performance to your line manager and celebrate achievements (e.g. QMUL Health and Safety Awards).  
Review accidents & incidents and ensure lessons learnt from investigations are embedded into revised procedures. |
Contribute on request from your line manager to your local annual safety review.
Use the information to review your planning process (e.g. within the QMUL Planning & Accountability Review (PAR) or local area planning).

| What to expect from your Faculty Health and Safety Manager/Adviser and your appointed role holders |
| This should primarily conducted / communicated through your local safety appointment (e.g. Safety Coordinator). |
| • Communications about significant events, changes to legal requirements of relevance to your Faculty/School/Institute/Directorate. |
| • Attendance at local health and safety committees or other meetings where health and safety is discussed |
| • Information about accidents and incidents occurring in your Faculty/School/Institute/Directorate. |
| • Participation in discussions to resolve local health and safety issues |
| • Action plans and recommendations from investigations |
| • Advice on management actions and proportionate responses to incidents |
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Document Control

Document Reference QMUL/HS/003

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Position: H&S Manager
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HSAG Approval: 21 Nov 2017
QMUL Consultation: Sep - Nov 2017
Status: LIVE
Date of Issue: 22 Nov 2017

<table>
<thead>
<tr>
<th>Version No.</th>
<th>Date of alteration and re-issue</th>
<th>Details of changes</th>
<th>Changes made by</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Version 1 issued Feb 2012</td>
<td>-</td>
<td>Dr Kevin Thurlow (Director of Health &amp; Safety)</td>
</tr>
<tr>
<td>2</td>
<td>22 Nov 2017</td>
<td>Document updated throughout with legislation updates, terminology, weblinks Appendix 2 - Managers H&amp;S Guide checklist added.</td>
<td>Mrs Zarah Laing (Director of Health &amp; Safety)</td>
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