



UNIVERSITY
of York



HEALTH AND SAFETY MANAGEMENT FRAMEWORK

Delivering brilliant basics to drive
continual improvement 2023 to 2026

york.ac.uk/admin/hsas

VISION

Embedding a shared interest approach to Health and Safety management through a proactive empowered culture of trust and accountability that will ultimately drive improvement, focusing on significant risks and empowering risk owners to visibly demonstrate management oversight providing clarity of governance, assurance, regulatory compliance, and operational delivery. The vision is based on a set of principles below:

Introduction

The University is committed to establishing a positive health and safety culture which takes a university-wide approach to implementation. The approach looks to support the University's values and strategies, to develop a culture to reduce risk, promote health and safety risk ownership, and meet our statutory duties, as outlined in the Vision.

Principles

- To embed a whole university shared interest and ethos to Health and Safety, with continual improvement at the heart of delivery through effective consultation and governance.
- To develop a set of tools and measures to evaluate performance, monitoring improvement, evaluating outcomes and celebrating success. Taking a system led approach to achieving the development.
- To focus on both Workplace Health and Safety risks as an integral part of the Health and Safety management arrangements. Collaborating closely with key stakeholders to deliver effective consultation and governance.
- To provide development opportunities to improve levels of competence and confidence in our leaders, managers, and staff. We will strive towards the creation of a work and study environment where issues of health and safety can be raised and discussed openly and that a spirit of transparency allows concerns to be raised and addressed.
- We will take a system-based approach to achieving compliance ensuring that measures taken, and the level of governance required, is commensurate with the level of risk.
- We will promote sensible risk management, which supports research and learning, and is focussed on real risks, ensuring activities are managed responsibly at source.

The framework is a 3-year plan, setting the aims for achievement through an implementation plan and aligned objectives, agreed by the Council and UEB. The plan will be reviewed at regular intervals through the Health and Safety governance structures.

BACKGROUND

The role of the Workplace Health and Safety Office is to build an assurance and advisory based model to monitoring the safety management arrangements on behalf of the University. The office will implement the University Health and Safety Policy, signed by the VC and developed in line with the University strategy, as progressive forward looking, where shared interest and collective responsibility ,is at the heart of the implementation.

Embedding a shared interest approach will be achieved through the model illustrated figure 1., working through 4 strands and underpinned by 3 enablers. Implementation of the framework will be achieved through building on the basics through continual improvement (Appendix 1). The Workplace Health and Safety Office has an independent, impartial and institution wide role, and is an important key enabler for culture change. The Office is also responsible for leading the delivery to drive continuous improvement of Health and Safety risk management in accordance with the Leadership and Management of Health and Safety Standard in Higher Education Institutes Standard¹. The approach to Health and Safety is in keeping with the University of York Strategic Plan². It is also important to look beyond the sector and align our framework to the Health and Safety Executive’s (HSE) strategic plan 2022-2032³.

The strategy is aligned to the University’s corporate risk related to Health and Safety, applying an assurance-based approach referencing the **lines of defence model** (figure 2) to monitor arrangements to manage risk on behalf of the University.

Figure 1: Embedding a Shared interest approach to Health and Safety at University of York – Through 4 Strands



1 <https://www.usha.org.uk/resources/usha-leadership-and-management-of-health-and-safety-in-heis/>

2 <https://sites.google.com/york.ac.uk/change-programme/link-to-strategy>

3 <https://www.hse.gov.uk/aboutus/assets/docs/the-hse-strategy.pdf>

Key legislative drivers are:

- Health and Safety at Work Act and regulations that sit below the Act. Leading to enforcement action.
- Environmental Permitting Regulations
- Regulatory (Fire Safety) Reform Order and all other Fire Safety regulatory drivers.
- Civil Contingencies Act

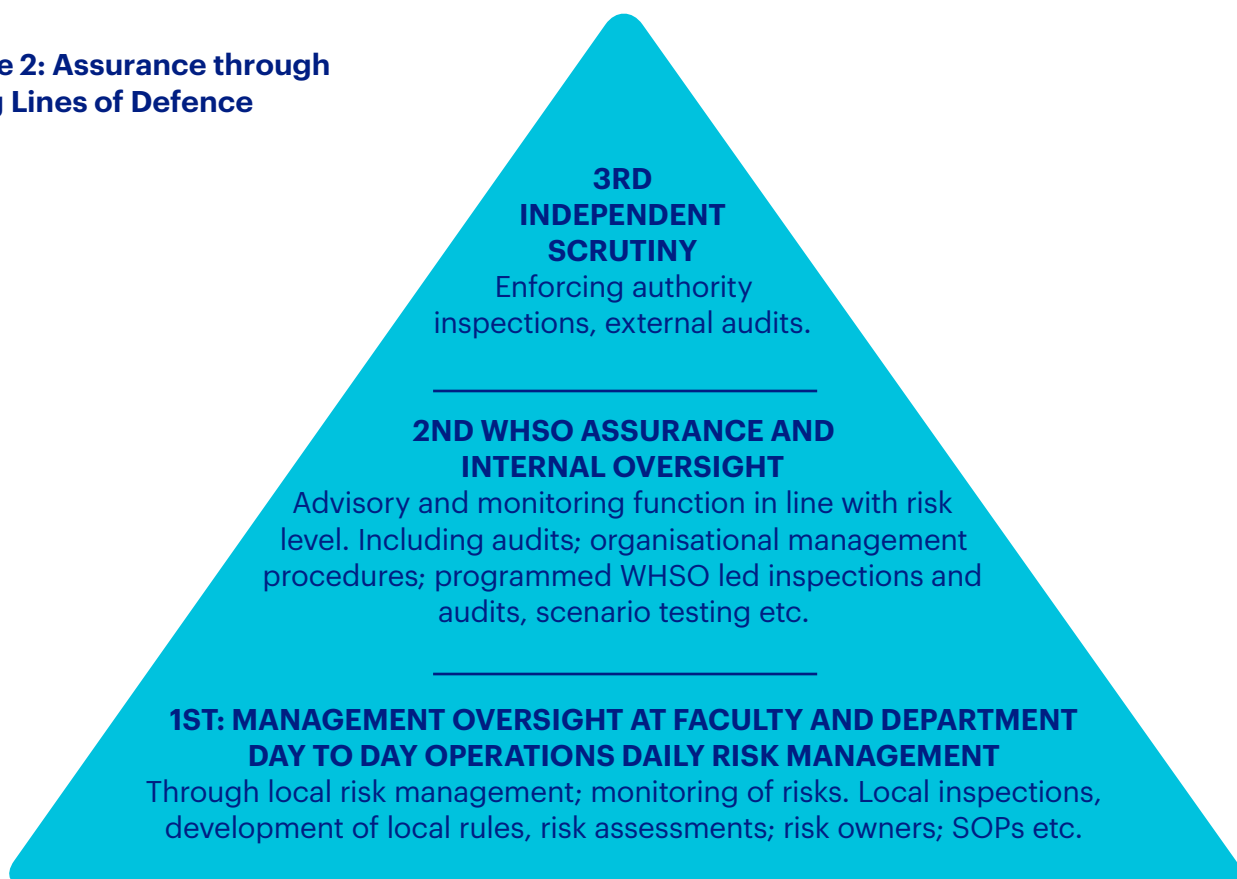
Our workplace Health and Safety vision will be essential to delivering a university for public good, putting the safety of our community at the heart of the strategic objectives, empowering individuals to embrace responsible risk management and having a collective purpose and a commitment to achieve this.

Integrating Health and Safety within the leadership principles⁴ for the University of York, both as individual and organisational goals, should be embedded in safe behaviours and attitudes with collective ownership across the institution. The ambition is to embed a 'shared interest' approach to Health and Safety across the institution that will be robust and sustainable. This framework builds in resilience to continue to meet the expectations of the external agencies who enforce health and safety.

Implementation will be through a plan which illustrates the overview approach (Appendix 1a) and a practical delivery plan (Appendix 1b) that outlines the approach that has been adopted, as well as providing details on each strand and enabler (Appendix 2) to support the delivery of the Framework. Health and Safety should be seen as an enabler for the University to meet its objectives. Improvements to our Health and Safety culture will be applied through delivery strands and facilitated through the enablers outlined above.

Monitoring will use the Lines of Defence assurance model (Figure 2) to report on assurance and there will be annual objectives put in place to measure impact of the framework, which will be regularly reported against through the Health and Safety governance structures.

Figure 2: Assurance through using Lines of Defence








APPENDIX 1A: Framework overview implementation: building the basics back better to achieve continual improvement plan - 2023 to 2026.

Top level summary to framework delivery: build the basics back better to achieve continual improvement 2023 to 2026

| BASIC PRINCIPLES | PLAN | DELIVER | CHECK | REVIEW |
|---|--|--|--|---|
| FRAMEWORK OVERVIEW THROUGH CONTINUAL IMPROVEMENT CYCLE | | | | |
| <ul style="list-style-type: none"> Put in place new H&S management arrangements to deliver on each strand of strategy. | <ul style="list-style-type: none"> Organisation risk profile Inspection programme Reporting Objectives Communication plan Training plan (team and University) Management system – procurement | <ul style="list-style-type: none"> Common templates Website update Resources update Reporting information Accident management system roll out | <ul style="list-style-type: none"> Use of templates feedback Check objectives being met Training effectiveness measures Self-check inspection programmes Monitor accidents/ promote near miss reporting Use data to inform inspections/ walkarounds and risk assessment Develop monitoring strategies to be able to meet regulatory requirements. | <ul style="list-style-type: none"> Independent audit 23 to 24 Annual Report Visits by EA and HSE |

APPENDIX 1B: Whole University overview of the practical implementation plan

Build the basics back better to achieve continual improvement 2023 to 2026: framework implementation through 4 strands and 3 enablers

| ENABLERS | E1 : KNOWLEDGE, SKILLS AND EXPERIENCE | E2: ENGAGEMENT AND EMPOWERMENT | E3: RESPONSIBLE RISK MANAGEMENT |
|--|--|---|---|
| STRANDS | | | |
| S1: business partner model  | Development of team to deliver on a BP model. Consistent internal working Collaborative approach model development | Develop a collaborative working relationship with Faculties, Schools and Professional Services. Learning lessons | Monitoring lines of defence |
| S2: management systems and reporting  | Development of new systems and reporting measures Assurance framework Management system architecture | Training programme development. <ul style="list-style-type: none"> • For local advisers • Managers • Tool box • Risk based session • Engagement sessions | Monitoring lines of defence |
| S2: management systems and reporting  | Review of specialist risks Biosafety | Set of specialist frameworks development CPD based development programme | Monitoring lines of defence |
| S3: knowledge development and engagement  | Develop new local adviser model Outline role and time | CPD based programme of development | |
| S4: resilience; fire and bc  | Deliver on FRA programme Fire safety management guidance Roles and Responsibilities outline Support DTEF on fire safety advice for new builds Review BC framework & consistent approach. Identify objectives for year | Training for fire safety staff/students/lab based Role specific training Deliver scenario-based BC training. Fire Evacuation programme | FRA reviews Visits by Yorkshire FS Reporting to H&S committee |

APPENDIX 2: Implementation of the Health and Safety Framework

Outline approach:

The Enablers:

1. Knowledge, Skills and Experience.
2. Engagement and Empowerment.
3. Responsible risk ownership and management.

The Delivery strands:

Business Partnering Model:

- a. A collaborative business partnering model to work closely with Faculties and Professional Services to enable improved culture and empowerment on Health and Safety behaviours and responsibility.
- b. Providing professional advisory support, and assurance through the three enablers.
- c. To deliver a sustainable, resilient, and embedded approach to safety advisory support across the University

STRAND 1: Business Partner model

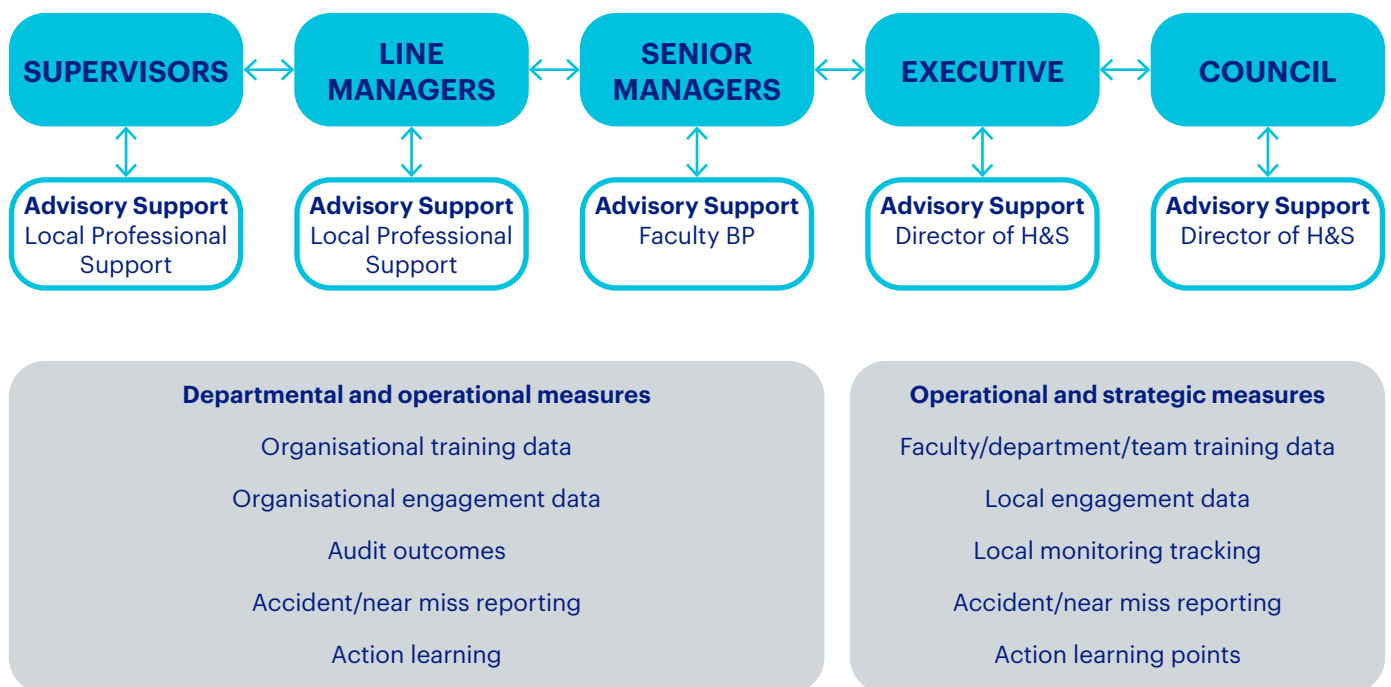
| BUSINESS PARTNER ROLE - PRINCIPLES | HOW | YORK UNIVERSITY STRATEGY AND RELEVANT EXTERNAL STANDARDS. | MONITORING APPROACH AND ESCALATION PROCESS WHERE NEEDED. MONITORING TO REPORT ON OBJECTIVES BASED ON DATA TRACKING. | OUTPUTS & DEVELOPMENT NEEDS AND TOOLS TO DELIVER APPROACH. SET SUCCESS CRITERIA |
|---|--|---|--|--|
| <p>To work in partnership with senior academics and professional services colleagues across the University to lead on H&S culture development and advise independently on Faculty and Professional Services H&S arrangements by working collaboratively with all DSAs.</p> <p>Building strong and meaningful relationships with local stakeholders.</p> | <p>Coaching led approach to develop HoDs to deliver on outcomes around H&S.</p> <p>Providing H&S professional competent advisory support to Faculty and Departmental Senior staff during planning around H&S needs.</p> <p>Work collaboratively on campaigns/incentivising and aiming to deliver a proactive safety culture at Faculty and Departmental level.</p> | <p>Community</p> <p>Empowerment with responsibility</p> <p>Responsible Risk Management</p> <p>University of Public Good</p> | <p>Advise Dean and Director of Faculty Operations on management actions.</p> <p>Work with HoDs to ensure tracking of H&S actions are satisfactorily completed.</p> | <p>HoDs: Clearer on roles and accountability</p> <p>Business partners – excellent soft skills and coaching to achieve desired outcome.</p> <p>Clear dashboard information</p> <p>Local data monitoring Risk Profile per Faculty</p> <p>Hazard Gap analysis per Faculty</p> <p>Set Success Criteria: Improved layers of defence at Faculty and Department level.</p> |
| <p>Horizon Scan for their Faculty.</p> <p>Provide analysis and management information</p> | <p>Monitor Faculties that are meeting their objectives and supporting annual reporting.</p> <p>Continuous improvement</p> | <p>Actively curious on Health and Safety</p> | <p>Escalate if needed to the Dean via Faculty Safety committee or outside of this if needed.</p> | <p>Faculty objective setting and monitoring across all Depts Set Success Criteria: Objectives better aligned through management information and interventions based on data.</p> |
| <p>Key to ensure action tracking is effective in Faculties for H&S</p> | <p>Expect to be liaising with Senior Academic and Professionals to hold to account recommendation to be closed out and to escalate where needed to the Dean of Faculty.</p> | <p>USHA</p> <p>leadership Standard & HSE strategy</p> | <p>Dean to escalate to other UEB members and Director of H&S for resolution</p> | <p>Director of H&S to receive Annual report and Faculty reports on level of compliance and meeting objectives.</p> <p>Director Report to ARC/UEB</p> |

STRAND 2: Reporting, management systems and specialist risks

- a. Delivery of improved management systems to enable business partners to have access to accurate dashboarding on localised Faculty and Professional Services data. Information to inform Health and Safety risk management and facilitate development of localised performance indicators and objectives. Also enabling continual monitoring to examine effectiveness of the management arrangements, through practical leading and lagging indicators.
- b. To deliver on specialist risks (dashboard development), guidance development, monitoring programme and improved reporting for Faculties and Professional Services to assist with driving improvement. This strand will also include specialist advisory support e.g. Biosafety, Radiation, Laser, Workplace Health and ergonomics risk for the University.

STRAND 2: Management tiers and aligning reporting approach – checks and balances across the University

The objective of this strand is to put in place performance measures that can be used to examine and demonstrate management of Health and Safety at every level of the organisation. Through development of localised dashboards in line with Faculty/Department risk profiles, appropriate monitoring strategies can be implemented.



STRAND 3: Knowledge, development and engagement

- a.** To build a community empowered to take responsibility for risks and develop local resilience, by focussing on delivery of a training competency framework for Health and Safety⁴ across the university. To aim to deliver a programme for managers at all levels of the organisation, with technical sessions for departmental safety advisers.
- b.** Applying the principles of the Leadership and Management of health and safety Higher Education Institutes to *the Technician Commitment* which will ensure our community of Technicians have the skills and knowledge to support their operational technical work safely.
- c.** To look to deliver new, more accessible digital solutions to traditional safety training. Developing communication plans to identify clearer messaging to our community and to develop university wide Health and Safety campaigns with an aim to introduce a university safety award scheme.
- d.** At Faculty and Professional Services level, an aligned Departmental Safety Adviser role to meet the needs of the University, in line with the level of risk associated with the Department. Building a localised professional operational safety support network within areas of higher risk, specifically Science and DTEF, through a health and safety operational implementation group.

STRAND 4: Resilience and fire safety

- a.** This will focus on fire safety, business resilience and emergency management, working closely with university key stakeholders to meet the needs of the evolving higher education environment. This strand will include Business Continuity, Insurance and Risk Management, to understand how best to learn lessons from incidents and to be prepared for any future.

⁴ Available on request



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Photo credit: Olivia Brabbs