Introduction

It is a College requirement that each Department has a Code of Practice which sets out the measures and arrangements it has in place to effectively implement College health and safety policy.

The overall aim and purpose of this document is to describe the management arrangements the Director of Estates Facilities deems suitable and sufficient to enable him to effectively discharge the duties delegated to him by the Rector of Imperial College.

The document has been structured in line with the College safety management system which is predicated on the Health & Safety Executives guidance for ‘Successful Health & Safety Management’ (HSG65). The overall objectives of the Estates Facilities safety management system is to provide staff, students, contractors and members of the public with an environment which, so far as reasonably practicable, is free from risk. This will be achieved via application of the following principles:

- Health and safety duties, and the necessary authority and resources to discharge them, are delegated to line managers although the person making the delegation retains overall responsibility;
- Those to whom health and safety duties have been delegated are accountable for ensuring that they are effectively discharged;
- Members of staff, students and contractors are individually responsible for taking all reasonable precautions to ensure their own health and safety and that of others who may be affected by their acts or omissions;
- The risks of all activities which may affect the health and safety of staff, students and others are to be identified, evaluated and appropriate control measures implemented;
- Safe systems of work will be devised and appropriate performance standards set;
- Effective arrangements will be put in place for consultation and communication with staff and others who could be affected by the Department's operations;
- Staff are to be provided with appropriate information, instruction, training and supervision to ensure they can achieve the level of competence necessary to work in a safe and healthy manner;
- Systematic monitoring and audit will be used to identify where the safety management system fails to deliver its principal objective.
1. Profile of the Estates Facilities Department

The overall function of the Department is to maintain and manage all the buildings and infrastructure owned or leased by the College from which it operates to provide a range of educational, research and business services. The Department is made up of the following sections:

**Building Management** – Each building is assigned a Building Manager whose role it is to ensure the building is fully serviced in line with a ‘service level agreement’ existing between the various users and the Estates Facilities Department.

**Security** – The Security Division provide passive and active security measures across the campuses that make up Imperial College. There is a physical security presence provided 24/7, 365 days per year and Security staff are required to provide a 1st Aid response and be an integral part of the College Emergency Response Team. The Security Division also provide internal postal services.

**Maintenance Services** – The College comprises 5 million square feet of floor space which requires constant attention if it is to remain fully operational and fit for purpose. Estates Facilities employs a Team of engineering staff, both mechanical and electrical, who are available during core hours to respond to faults arising to plant and services. Estates Facilities also appoints a Measured Term Contractor who carry out a programme of planned maintenance across all buildings and also assist with more specialist areas of reactive maintenance.

**Soft Services** – Soft Services substantially provide janitorial services to the College including grounds maintenance, collection of all forms of waste for recycling, internal and external cleaning and, conference / meeting room set ups.

**Energy and Environment** – This section is responsible for ensuring that the College’s demand for energy is satisfied at the most economic cost whilst keeping within the targets set by Government for carbon emissions and sustainability.

**Property Management** – This Team administer on behalf of the College all matters arising out of the Landlord and Tenants Act including acquisitions / disposals, tenancy agreements, preparation of legal documentation, rates assessments and appeals and, letting of properties to third parties.

**Health, Safety & Fire** – The role of this Team is to advise the Director of Estates Facilities and the Heads of Service on all matters in respect to compliance with the range of H&S Regulations governing their business operations. The Fire Team has a wider role in terms of being designated the ‘competent person’ as appointed by the Rector of Imperial College who is the ‘responsible person’ under the Regulatory Reform (Fire Safety) Order 2005.

[Contact details for Estates Facilities can be found here.]

2. Management of Health & Safety

The Director of Estates Facilities is committed to providing and maintaining a positive health and safety culture, to leading by example and continually striving to improve safety performance. The Director is fully aware that many of the services provided by his Teams
are critical to providing a safe environment in which the College can conduct its business and will ensure they are provided to a high standard and, compliant with College Health & Safety policy and industry best practice.

The Director of Estates Facilities will ensure that all Heads of Service are motivated and committed to delivering high standards of health and safety within their individual Group and that they are suitably resourced and, competent to implement College policy.

Each Head of Service will ensure that a profile of risk exists for their service and that arrangements are in place to control and manage the identified risk.

3. **Policy and Codes of Practice**

Responsibility for the development of College health and safety policy resides with the Safety Department who will also produce guidance and codes of practice to assist service departments to implement policy to a consistent standard.

The Director of Estates Facilities acknowledges that where suitable guidance or codes of practice do not exist responsibility will rest with him to ensure that they are produced on behalf of his managers and staff. Codes of practice will therefore, as necessary, be produced which will aid managers to identify risk and put in place measures that will eliminate or control the risk. All such codes of practice will be published on the [Departmental website](#).

4. **Organisation & Arrangements**

This section will set out the general arrangements in place within Estates Facilities for the management of health and safety and provision of a safe place of work for staff.

4.1 **Local Arrangements**

All managers and supervisors within Estates Facilities are responsible for ensuring that a safe place of work is provided for their staff, and required to ensure the following essential arrangements are in place:

**General Welfare** – all staff will be provided with reasonable access to toilet and personal hygiene facilities including hot and cold running water. There must be a supply of fresh drinking water and a facility where hot drinks can be prepared, ideally staff will be provided with access to a refrigerator and microwave and, a place to sit and eat their lunch.

**Fire Safety** – all staff will be made aware of the arrangements for safely evacuating their place of work in the event of a fire alarm or emergency and where they should assemble outside the building. Where staff are grouped in offices which constitute their main place of work arrangements will be made for the appointment of a Fire Warden(s) whose role it will be to assist with the safe evacuation of employees in an emergency. Provision will also be made for access to suitable fire extinguishers for use by those employees trained to use them.

Signage will be provided in the workplace directing staff to fire exit points, providing the name(s) of appointed Fire Wardens and the location of fire extinguishers.

**First Aid** – all staff will be provided with reasonable access to competent first aid services which are commensurate with the hazards of their role, as a minimum all staff will have
access to an emergency first aider. Clear signage will be provided in each workplace informing staff how to access First Aid.

**Induction of New Staff** – the College Day 1 Health & Safety Induction procedure will be completed in respect of all new staff. New staff will also be required to watch the Estates Day 1 Health & Safety Induction DVD and complete the associated test.

**ID Cards and Security** – all staff will be provided with a personal ID card which will be programmed to allow them access to those parts of the College required by their role. The line manager will ensure that the induction process includes a safety briefing in respect of all those locations the employee is likely to visit during the course of their job.

**Accident and Incident Reporting** – the College has an on-line accident reporting system called SALUS and all staff will be made aware of their duty to report all accidents / incidents.

**Accident / Incident Investigation** – Those managers having responsibilities for staff and/or premises have a duty to proportionately investigate accidents and incidents involving their staff or their premises. Where investigations take place the findings will be written up using the Adverse Incident Report form, which is available along with other relevant information here.

**Display Screen Equipment** – the majority of staff use display screen equipment (DSE) as an integral part of their job. All users of DSE are required to access the guidance and DSE assessment tool made available on the Occupational Health website. Line managers will ensure that all staff have read and understood the guidance and, completed the work station assessment. All DSE users will, on request, be entitled to a free eye and eyesight test and thereafter at an interval prescribed by their optician.

**Electrical Equipment** – arrangements will be made by Estates Facilities for all portable / plug-in electrical apparatus to be tested in compliance with the Electricity at Work Regulations 1989. Staff are not permitted to bring portable electrical appliances in to College without permission from their line manager.

**Lone Working** – Responsibility rests with line managers to determine where and when it is permissible for their staff to ‘work alone’. Managers must determine and put in place control measures to mitigate the risk of working alone and where appropriate record the findings in the risk assessment format.

4.2 Group Safety Arrangements

Estates Facilities reports to the Chief Operating Officer and is part of the Operations Group. As per College policy, a Health and Safety Code of Practice exists which sets out how the Operations Group will ensure that College Health and Safety policy is implemented across the Group.

As stated at the Introduction the overall aim and purpose of this document is to describe the management arrangements the Director of Estates Facilities deems suitable and sufficient to enable him to effectively discharge the duties delegated to him by the Rector of Imperial College. The role of the Director of Estates Facilities is commensurate with that of other Directors of the Operations Group and consists of the following:
a) Establishing and maintaining a robust ‘safety management system’ within the Department which ensures that College policy and procedure is effectively implemented;

The Director will, in collaboration with the Head of Health, Safety & Fire, design and implement a safety management system which accords with the College safety management framework e.g. HSG65.

The management system will document the arrangements which will ensure that all risk pertaining to the delivery of services provided by Estates Facilities has been identified and measures put in place to eliminate or control the risk.

The management system will spell out the roles and responsibilities of key staff within the Department. It will address the critical issues of communication, consultation and how control will be effected.

It will also set out the arrangements for reviewing performance and auditing safety practice.

b) Ensuring that sufficient resources are allocated so as to comply with all statutory requirements placed upon Estates Facilities;

As a demonstration of his commitment the Director accepts that occasions will occur when it will be necessary to provide access to resources over and above the core funding allocated to the health & safety function. All requests for additional resources will be evaluated in terms of the additional benefit to be accrued for the College / Department and following a cost / benefit analysis.

c) Appointing competent persons to advise Estates Facilities in respect of its statutory duties;

The Director has created two key posts within the Department to assist him in discharging those duties delegated to him by the Rector.

These are: The Head of Health, Safety & Fire and the Chief Fire Officer

d) Ensuring that systems are in place to identify hazards and develop strategies for effective risk mitigation and control;
A code of practice exists in the Operations Group which sets out the methodology to be applied by Departments thereby enabling them to identify, evaluate, devise control measures and record the significant findings of a risk assessment.

The Director will ensure that the Operations Group Risk Assessment Code of Practice is embraced within Estates Facilities

e) Ensuring that staff are provided with suitable and sufficient training to enable them to competently carry out their duties;

The requirement to provide suitable and sufficient training is both a statutory and College requirement, the Director will therefore ensure that a training / competency framework exists for all posts within the Department. The duty to produce training needs analysis will be delegated to Heads of Service. Training is available through the College Learning & Development Department, more specialist training will be sourced from external agencies to satisfy the identified training needs.

f) Ensuring that staff and contractors are clear as to their health and safety roles and responsibilities;

All staff are required to have an up-to-date job description and it will be incumbent upon all managers to ensure that health and safety duties and responsibilities are clearly recorded in Job Descriptions. Job descriptions will be regularly reviewed and in all cases prior to appointing to a post.

Estates Facilities utilises the services of numerous contractors who provide a significant range of specialist and general buildings maintenance services including small project works, re-active and planned maintenance. Estates Facilities communicate their expectations and requirements of contractors in Service Level Agreements.

g) Receiving and reviewing reports from the Departmental Health and Safety Committee and ensuring action is taken to address issues arising;

Estates Facilities is represented on the Operations Group Health & Safety Management Committee, which meets termly. The Operations Group H&S Management Committee is charged with ensuring co-operation and co-ordination of safety practice across all Operations Departments.

The Director of Estates Facilities is also a member of the College Health, Safety & Environment Committee and the College Consultative Committee. This provides essential communication links with the wider College and enables him to influence College policy and priorities.
h) Reviewing the Departments health and safety management performance on an annual basis;

The Department uses a range of active and re-active methods to review its health and safety performance throughout the year, all such methods will be set out in the latter section on Review & Monitoring.

i) Liaising with the Heads of Faculties to ensure that ‘safety critical’ plant and services are provided professionally, cost effectively and in compliance with statutory requirements.

The Director ensures that suitable arrangements are in place to facilitate consultation with Faculties / Departments which lead to the provision and maintenance of all plant and services supplied to the buildings of Imperial College. The Director employs ‘specialist’ staff / contractors who will advise on the provision and maintenance of building services and will use competitive tendering to ensure cost effective compliance.

4.3 Roles and Responsibilities of Heads of Service

The Heads of Service play a key role in ensuring that the safety management system is fully implemented within their service. Each Head of Service will be required to discharge the duties as expressed in this document at Appendix A, and will also be required to produce a Code of Practice setting out their arrangements for managing health and safety.

4.4 Communication & Consultation

If an effective safety management system is to be present within Estates Facilities it is imperative that all staff have ownership of the aims and objectives as listed at the Introduction to this document. This will be achieved in part by involving staff in the development of codes of practice, risk assessments and safe systems of work which impact upon their area of work. These documents will be shared with staff via Team meetings, internal training and tool box talks.

The Department will use a range of mediums including notice boards, email, safety notices and Team meetings / briefings to share information across the various sections, the Safety Committee will also serve as a forum for addressing safety issues raised either by staff or managers. The terms of reference for the Operations Group Health and Safety Committee can be found here.

A further source of information and feedback is the accident reporting and investigation system which culminates in an Adverse Incident Report. Results of inspections and audits will also be shared amongst managers and staff.
4.5 Competence and Control

Establishing and maintaining control is critical if an organisation is to successfully mitigate the risk present from its operations. Hazards can easily be introduced where staff either ignore good safety practice or choose not to work in accordance with a prescribed safe system of work.

The methodology used in Estates Facilities to gain control is:

- Establish performance standards;
- Provide staff with information, instruction & training in respect of the standard;
- Monitor performance against the standard; and
- Use appropriate sanctions to reinforce the standard.

There is of course a reciprocal requirement for managers within Estates Facilities to provide a safe workplace including, safe systems of work, safe tools and equipment, appropriate PPE, training and supervision.

As referred to at 4.1(5) the Director will ensure that a training/competency framework exists for all posts within the Department. Accountability for providing the competency framework will be delegated to the Heads of Service.

The identification of training needs will be informed from a full understanding of the roles which staff undertake, and the environments in which they perform their role as set out in their job description. By applying this understanding it should be possible to determine those tasks that staff undertake which are intrinsically hazardous. The principles of risk assessment should then be used to identify the risk associated with the task and the control measures which will be applied to mitigate the risk.

The above knowledge will then be used by the Heads of Service / service managers to determine the most appropriate means of providing staff with the skills and knowledge required for them to safely undertake their roles. This may be via attendance on a nationally certificated course such as NEBOSH General Certificate, gaining a PASMA certificate for the safe erection of tower scaffolds or an internal course on the principles of safe moving and handling.

Each Head of Service will maintain an up-to-date record of training undertaken by their staff.

5. Planning & Implementation

Effective planning and implementation is essential if Estates Facilities is to successfully discharge its' duties as expressed in Imperial College Health and Safety policy and manage the risk that arises as a direct result of the services it provides.

The organisation and arrangements discussed in Section 4. lay the foundations of the safety management system designed by Estates Facilities to mitigate the risk arising from its responsibilities to provide facilities services to Imperial College. These arrangements make it possible for Estates Facilities to implement the Operations Group Risk Assessment Code of Practice which defines a methodology for identifying and controlling risk.

5.1 Risk Identification

Each Head of Service has a duty as described at 4.4 to possess a thorough knowledge and understanding of the roles there staff undertake and what risk arises from the tasks they carry out on a day-to-day basis.
The College advocates and recommends that each Faculty / Department should prepare and keep updated a register of its key risk, the Director of Estates Facilities requires that each Head of Service prepare a schedule of their key risks and list the principal measures implemented to control the risk.

5.2 Risk Assessment

The Estates Facilities Department has fully adopted and embraced the risk assessment methodology as set out in the Operations Group Risk Assessment Code of Practice which advocates the use of generic, specific and dynamic risk assessment.

**Generic Risk Assessment** - In respect of the above CoP each Head of Service will, in consultation with his/her managers, identify those tasks undertaken by staff which by their nature are repetitious e.g. they are regularly performed following the same method but in a variety of locations.

For each task a generic risk assessment will be compiled which identifies the hazard arising from the task, those persons who could be affected and how and, the control measures which will be applied to mitigate the risk. Managers are advised to consult the staff who undertake hazardous tasks when developing generic risk assessments as they will often be able to assist in devising the control measures applicable to the task. By involving staff in developing risk assessments there is a greater chance they will ‘own’ the outcome and work in accordance with the control measures/safe system of work. **The appropriate risk assessment pro-forma must be used to record the findings/results.**

**Specific Risk Assessment** - It is acknowledged that a number of tasks undertaken by staff, due to their degree / range of risk, will not be suited to the generic risk assessment approach. These are tasks that due to their nature and environmental factors will require an individual set of control measures which when applied make it possible for the task to be performed within tolerable levels of risk. **All ‘specific’ risk assessments will be recorded using the appropriate pro-forma.**

All risk assessments be they generic or specific will be shared with staff who perform the task(s) to which the assessment pertains. The control measures will in effect be considered ‘safe systems of work’ and staff will be expected to apply them consistently and conscientiously as they are provided for their safety. Managers will ensure that all safety equipment e.g. PPE as recorded in the assessment is provided and that, via active monitoring, they ensure staff are working in compliance with the assessment.

**Dynamic Risk Assessment** – Due to the geographical size of Imperial College it is not feasible to risk assess every single task undertaken by staff employed by Estates Facilities. As above both generic and specific risk assessments will be produced which, further to instruction and training, will be applied by operational staff.

In addition all staff will be trained and encouraged to apply the principle of dynamic risk assessment in their every day work activities. This is intended to assist staff to determine whether the control measures, as specified in the generic / specific risk assessments, are adequate to mitigate the risk of the task they have been instructed to undertake. Staff will also apply the knowledge acquired via training to aid them to implement the stated control measures. A fuller explanation of ‘dynamic risk assessment’ can be found in the Operations Group Risk Assessment Code of Practice.
5.3 Safe Systems of Work

The product / outcome of a risk assessment be it generic, specific or dynamic is that control measures are identified which minimise the risk arising from the work activity being performed to a tolerable level.

As such the control measures can also be termed a 'safe system of work' which all staff undertaking the task are expected to work in accordance with. Safe systems of work will therefore prescribe how a task is to be undertaken e.g. it may require the use of an electrical lock-out system to prevent the risk of electric shock or use of a tower scaffold where extensive working at height is involved.

It will not be uncommon to find within a ‘safe system of work’ a reference(s) to particular codes of practice which also apply to the manner in which the task is to be undertaken. In respect of the example above there is an Estates Facilities Code of Practice for electrical lock-outs and for working at height. Codes of Practice are discussed further at 5.6 in this document.

5.4 Risk Assessors

The Operations Group Risk assessment Code of Practice requires all Departments to designate members of their staff as competent risk assessors. To be designated ‘competent’ staff must have the necessary training, experience and knowledge of the work the risk assessment pertains to.

All staff in Estates Facilities who hold line responsibility for others or who manage the delivery of services are required to complete the College on-line Risk Assessment Foundation Training and pass the end test. This is an introductory level of training and Heads of Service may consider their staff to need a greater level of risk assessment training where the risk deems it necessary.

All active risk assessments must be approved and signed off by a competent risk assessor.

Estates Facilities maintain a register of those staff within the Department who are designated competent risk assessors.

5.5 Risk Register

As stated at 5.1 the College requires each Faculty / Department to produce a risk register which identifies the significant risks arising from their business operations and sets out the control measures applied to mitigate the risk.

The Director is the person ultimately responsible for ensuring that a risk register is present within Estates Facilities but delegates responsibility for its maintenance to the Head of Health, Safety and Fire.

The following is a summary of the key risks arising from the role Estates Facilities performs on behalf of the College:

- Management and control of Asbestos;
- Management and control of Legionella;
- Management of crane lifts;
- Management and control of contractors providing planned maintenance, defect resolution and low level project works;
- Security of buildings and grounds;
- Fire risk assessment, prevention and emergency response;
- Generation of combined heat and power;
- Provision of extract ventilation systems;
- Provision and maintenance of passenger / goods lifts;
- Provision of internal and external building cleaning;
- Grounds and estates management;
- Collection of waste;
- Movement and control of vehicles;
- Management of high hazard areas e.g. roofs, plant rooms, service tunnels and risers;

Many of the items listed above, due to the nature of risk they present to the College, will require a specific set of arrangements that will ensure the risk is appropriately managed, these arrangements will be set out in separate Codes of Practice.

The risk register will be reviewed on an annual basis and made available on the Estates Facilities website. The Head of Health, Safety and Fire will be responsible for conducting the annual review and will utilise data arising from audits, inspections and accidents / incidents to assist in identifying where control systems have failed to deliver the required safety standard.

5.6 Codes of Practice

As stated at 3. of this document, specific guidance, in the form of code(s) of practice, will be produced which will assist managers and staff to understand what their responsibilities are. The principal objective of a code of practice is to define the measures which are to be applied by managers and staff so as to prevent unsafe practice and subsequent injuries / incidents.

The defined measures will in effect be operational standards which will set out, for example, the safe working practice to be applied when using a tower scaffold or when working on or next to live electrical services.

Where generic or specific risk assessments are being produced for tasks to be undertaken by staff there is a requirement to ‘quote’ all relevant codes of practice which apply to the task e.g. if the task requires the operative to work at height on steps, ladders, platforms etc the Working at Height Code of Practice must be referenced in the risk assessment.

The referencing of codes of practice is intended to act as an ‘aide memoire’ for staff and reinforce the requirement for them to work in accordance with good safety practice.

Staff are also expected to use their understanding of good safety practice when applying the principles of dynamic risk assessment. Prior to commencing a task or at any point during the
task staff must consciously affirm that they are keeping themselves safe and observing the good practice defined in the code(s) of practice and in accordance with their training.

6 Monitoring Performance

The Chief Operating Officer in his Introduction to the Operations Group Health & Safety Code of Practice states that he “expects the Directors of Departments to create and maintain a positive health and safety culture, to lead by example and strive to continually improve safety performance thereby minimising losses and injuries to employees, students, contractors, visitors and business assets”.

The statement above sets a clear agenda of ‘continuous improvement’ and therefore Estates Facilities is charged with quantifying its performance to determine whether improvement is being made. This ambition is embodied in the proverb....”what gets measured gets done” and aligns with the Health and Safety Executive’s advocation that “measurement is essential to maintain and improve health and safety performance”.

There are two principal methods which will be applied in Estates Facilities to generate information on safety performance which are:

- Active systems which monitor the achievement of plans and the extent of compliance with standards;
- Reactive systems which monitor breaches or failures of safe systems of work, workplace accidents and ill health.

6 (i) Active Monitoring

Each Section will be required to put in place arrangements which enable it to pro-actively monitor its safety performance that should incorporate some or all of the following:

- Monitoring individual performances of managers charged with demonstrating leadership and promoting the positive health and safety culture;
- The assessment of staff training needs and provision of suitable training;
- The systematic inspection of premise, plant and equipment by supervisors, management and safety representatives to ensure the continued effective operation of workplace precautions e.g. Safe Systems of Work;
- The observation of employee behaviours to assess compliance with risk control systems and associated procedures and safety rules e.g. permit to work systems;
- The review of the Departments ‘risk register’ to identify whether the nature of the risk changes and/or the control measures need to be reviewed;
- The consideration of regular reports and feedback on health and safety performance by the Health and Safety Committee(s).

6 (ii) Reactive Monitoring

Reactive monitoring by definition is a retrospective analysis of events which typically have a negative impact on the organisation or its business. Due to the nature of these events and the mechanisms used to collect the information, e.g. the accident reporting system, it will be possible for Estates Facilities to collectively gather and analyse the data which will include:

- Injuries and cases of ill health including sickness absence records;
Other losses such as damage to property, plant or service interruptions;
Incidents and/or near misses which have the potential to cause injury or loss.
The findings from investigations undertaken following accidents and incidents which aim to identify the root cause(s) of the event thereby preventing a recurrence;
(please use this link to make Adverse Incident Reports)

Each of the above presents the organisation with an opportunity to determine the probable causation of the event and review the measures it has in place to prevent such occurrences, this will be achieved by completion of an investigation proportionate to the nature of the near miss, injury or loss. The findings of the investigation will then be considered by Senior Managers and the Departmental Health and Safety Committee to determine what action should be taken to prevent a recurrence. It may be necessary to modify the ‘safety management / risk control system’.

A guidance document for carrying out accident/incident investigations can be found here.

The Department (Estates Facilities) will also need to consider incidents encountered by students and visitors having business at the College. This is of particular importance as Estates Facilities have responsibility for the maintenance of common areas such as paths / roadways, building entrances, stairs and corridors etc.

Each Section will have a protocol in place which ensures that reports of incidents and investigations are brought to the attention of the management team and the H&S Committee.

7 Audit & Review

The Health & Safety Executive offer the following as a definition of auditing performance:

It is the structured process of collecting independent information on the efficiency, effectiveness and reliability of the total health and safety management system and drawing up plans for corrective action.

The above generally assumes that control systems deteriorate over time or become obsolete as a result of organisational change. Auditing provides managers with information on how effectively the various components of the health & safety management system are being implemented/maintained.

As the key objective of the safety management system is to control risk the audit process is the element that completes the loop and informs Senior Managers if and where the risk control systems are failing.

7 (i) iCheck – College Audit System

To assist the College and individual Departments to determine the effectiveness of their safety management system the College Safety Department have implemented an audit process called iCheck.

iCheck is an audit tool which has been designed to mirror the elements of the Health & Safety Executives model of good safety management (HSG65) as featured in the Operations Group H&S Code of Practice. The audit tool comprises a series of questions covering each element of the HSG65 framework e.g. Health & Safety Training which are to be answered
with a “YES”, “NO” or “N/A”. The tool also allows a comment to be added at each question to qualify and expand on the answer.

The above facilitates a quantitative evaluation of the effectiveness of the safety management system at a Departmental or Section level which can be used to identify areas where ‘practice’ falls below the standard advocated by the safety management system.

A further facility of the *iCheck* audit system is for the auditor to request evidence in support of an affirmative answer for example:

**Question – Is relevant health & safety training given to all staff?**

Where an answer of “YES” is given to the above, the auditor could legitimately request to have sight of the training needs analysis and training provision records. This provides a qualitative measure of compliance and effectiveness of the safety management system.

7 (ii) *iCheck* – Audit Strategy

On an annual basis the College selects particular aspects of the safety management system that it wishes to audit the effectiveness of and invites Faculties / Departments to complete the associated set of questions in *iCheck*. The results will then be analysed by the College Safety Department and reported in to the College Audit Committee.

Where Faculties / Departments are unable to answer YES to specific questions and therefore have failed to meet the required standard they should produce an action plan listing the corrective action to be undertaken, by whom and in what time scale.

In addition to the audit undertaken by the College each Department / Section of the Operations Group can opt to self audit their safety management system and use the findings to inform and enhance the measures it has in place to control risk. The two appointed competent persons in Estates are able to assist Senior Managers where they wish to action a one-off audit of their service.

7 (iii) Review

Estates Facilities is committed to continuously improving its safety performance and therefore must be prepared to learn from both its successes and failures. Continuous improvement requires the contribution and commitment of all staff and as such all should be in the communications loop.

Reviewing should take place not only following the findings of high level audits but at all levels of the organisation and in the course of routine activities such as at Team meetings where staff can be encouraged to suggest ways of improving safety.

Reviewing performance will take place formally at meetings of the Health and Safety Committee(s) where both qualitative and quantitative data will be considered. Where appropriate, action plans will be developed to address areas of non-compliance within the services provided by Estates Facilities.
Appendix A

Heads of Section are responsible for ensuring:

a) that all staff within the Section are working in compliance with the relevant College policies and procedures and, in accordance with industry best practice;
b) that effective local arrangements are in place for the implementation of College health and safety policies, procedures and codes of practice;
c) that health and safety duties are delegated appropriately within the Section along with the authority and resources required to discharge them;
d) the promotion of a positive health and safety culture by:
   - Leading by example to secure the ownership and commitment of all staff to high standards of health and safety practice;
   - Clarifying the roles & responsibilities of staff;
   - Establishing clear performance standards and targets;
   - Monitoring performance

e) that staff are consulted on the development and implementation of safe working practice;
f) that effective communication and information systems are in place that promote good working relations and sharing of good practice;
g) that they are aware of the principal hazards and risk present in their services, that appropriate risk assessments of all hazardous items, areas and activities have been undertaken and, that the work is being carried out in accordance with specified controls;
h) staff are to be provided with the resources appropriate to do their jobs including the provision of Personal Protective Equipment;
i) that all workplace incidents, accidents and dangerous occurrences are reported, recorded and investigated in accordance with College policy and, that suitable provision is in place to administer First Aid;
j) that competency profiles exist for all staff groups, that training is available and staff are encouraged to attend;
k) that arrangements are in place for regularly monitoring, reviewing and auditing health and safety practice / performance and, reporting the findings to the Director of Facilities & Property Management;
l) that activities are suspended where health and safety is being, or is likely to be compromised;
m) that health and safety is considered in planning and budgeting and that resources are used effectively and in proportion to the local risks;

n) that suitable action is taken to address failures on the part of employees to comply with reasonable instruction, information and training provided for their safety and welfare whilst at work.