



# UK Health, Safety and Welfare Policy

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<b>Target Audience</b>	
This policy applies to:	All LSTM staff, students, visitors, volunteers, and contractors
This policy applies to:	LSTM Group (LSTM, IVCC, Well-Travelled Clinic and subsidiaries)

<b>Annex of Modifications</b>		
<b>Version</b>	<b>Date of issue</b>	<b>Details of modification from previous version</b>
4	August 2018	New format document. Periodic review: Update of document LSTM/HS1v3 to separate from organisational arrangements
4.1	August 2020	Revised document format; periodic review.
5.0	August 2022	Periodic review and update following HSE SAPO inspection
5.1	April 2023	Inclusion of H&S organisational responsibilities and arrangements, review by Exec and external review.

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## 1. Introduction and Context

- 1.1 The Liverpool School of Tropical Medicine (LSTM) has, a statutory duty under the Health and Safety at Work Act (1974), to ensure the health, safety and welfare (well-being) of its staff, students, visitors, volunteers, and contractors and anyone affected by its activities and undertakings. This policy is primarily aimed at LSTM's UK based activities, but as a global institution LSTM has a duty of care across all its locations. Whilst UK law cannot be applied at LSTM's overseas locations it does provide a framework, in conjunction with local legislation, to allow LSTM to ensure its duty of care at all locations where it operates. This policy identifies the key elements of our health and safety management system and details the commitment LSTM has for maintaining and improving the health, safety and welfare of all who may be affected by our activities. The aim of this policy is to foster a positive health and safety culture and in so doing contribute to the wellbeing of the LSTM community.
- 1.3 LSTM as an employer, educator and research institution is committed to ensuring that all the activities that we engage in are carried out responsibly with an understanding of the risks involved and with sensible and proportionate precautions put in place to control the risks.
- 1.4 LSTM recognises the important role that strong strategic leadership and effective management plays in establishing a positive safety culture and preventing incidents and work-related ill-health. Crucial to the delivery of this aim is effective leadership and this policy identifies key leadership roles and responsibilities in the institution.
- 1.5 Those in management positions will encourage a commitment to health, safety and welfare, and encourage everyone, staff, students, visitors, volunteers and contractors, to regard good health and safety practices as the norm. LSTM values the important contribution that staff appointed safety representatives make in improving health and safety. A collaborative approach to managing health and safety is crucial to LSTM meeting its objectives for maintaining and improving health and safety performance.
- 1.6 LSTM expects staff and students to recognise that they have a clear duty to:
  - take care for the health, safety and welfare of themselves and others.
  - co-operate fully with health, safety and welfare arrangements made by LSTM.

## 2. Equality, Diversity and Inclusion

- 1.2 LSTM is committed to promoting equality of opportunity, combatting unlawful discrimination and promoting good community relations. We will not tolerate any form of unlawful discrimination or behaviour that undermines this commitment and is contrary to our equality, diversity and inclusion policy.
- 1.3 LSTM will make reasonable adjustments for employees with disabilities. Likewise, LSTM will work with students with disabilities to ensure provision is made to ensure their safety in line with LSTM's statutory duties.

### **3. Breaching the Policy**

- 3.1 Breaches of this Policy will be investigated by the Head of Health and Biological Safety. RIDDOR reportable incidents and other statutory breaches will be reported to HSE.
- 3.2 Breaches of this Policy may constitute misconduct under the Disciplinary Procedure and serious breaches may be regarded as gross misconduct, which could lead to dismissal. Full details of the procedure can be found in the Disciplinary Policy and Procedure document.

## 4. Health, Safety & Welfare Policy Statement Adopted by LSTM

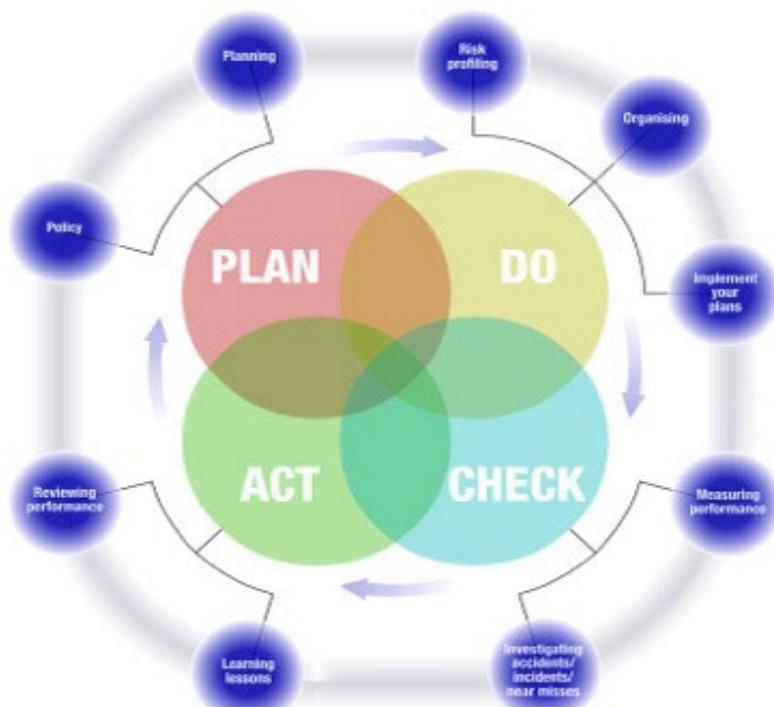
- 4.1 LSTM is committed to providing and maintaining a healthy and safe working environment for all its employees, students, visitors, volunteers, contractors and any other persons who may be affected by its undertaking. The executive responsibility for ensuring implementation of this policy lies with the LSTM Board of Trustees and the Director.
- 4.2 LSTM recognises the fact that good health, safety and welfare management has positive benefits to the organisation. It also recognises the need to continually improve, update and adapt to changes. The successful implementation of this Policy requires the full support and active co-operation of all employees and students at LSTM.
- 4.3 LSTM has made detailed arrangements for implementing this policy.
- 4.4 In order to achieve its aims, LSTM has the following key objectives:
  - To ensure the health, safety and welfare of all its employees whilst at work, so far as is reasonably practicable.
  - To ensure that staff, students, visitors, volunteers, contractors and others who may be affected by LSTM's undertaking, are not exposed to risks to their health and safety so far as is reasonably practicable.
  - To identify hazards (the potential for harm), assess the risks (the likelihood of that harm being realised, as well as its severity) and manage those risks, so far as is reasonably practicable;
  - To ensure that staff, students, visitors, volunteers, contractors and others are adequately informed of identified risks and where appropriate receive the relevant information, instruction, training and supervision; To provide competent health and safety assistance;
  - To make arrangements for co-ordination and co-operation with regards to health, safety and welfare with other employers where LSTM employees or students share premises, facilities or activities with persons working in other organisations or where persons from other organisations are working in LSTM controlled premises, facilities or activities.
  - To have clear and logical organisational and procedural arrangements in place to effectively carry out its duties.
  - To maintain work equipment in a safe state and provide both safe systems of work and a safe working environment for staff, students, visitors, volunteers, contractors and others.
  - To maintain arrangements for ensuring safe use, handling, storage and transport of articles and substances.
  - To maintain clear procedures for action to be taken in the event of an emergency.
  - To consult with staff, students, trade unions and others on health, safety and welfare matters.

- To monitor and review the effectiveness of the LSTM arrangements and to implement improvements as appropriate; and
- To encourage the development and maintenance of a positive attitude towards health, safety and welfare throughout LSTM.

## Principles of Implementation

4.5 Principal Investigators (PI), supervisors and managers within LSTM are responsible for ensuring compliance with this Policy. Within their area of control each PI, supervisor and manager is required to identify hazards and ensure relevant risk assessments are in place with appropriate guidance documents and training to ensure the health and safety of students, staff and visitors, volunteers and contractors.

4.6 LSTM will actively monitor performance in the management of risks in order to ensure consistent standards of implementation throughout the organisation, using the Plan, Do, Check, Act model of management.



- 4.7 LSTM Health, Safety Oversight Committee (HSOC) will actively promote co-operation and effective communication between staff, students, PIs, supervisors, managers and others. The main aim of HSOC is to develop and implement effective arrangements to protect the health, safety and welfare of all stakeholders and support health and safety initiatives.
- 4.8 LSTM health, safety and welfare procedures and arrangements are contained within documents which are provided to all staff and students updated and re-issued when necessary.

Signed

Date:

Professor David Laloo  
Director

## **5. Health, Safety & Welfare Responsibilities within UK**

### **Management Organisation**

5.1 This section outlines the individual responsibilities within the current LSTM management structure. It also provides information on the specialist roles within LSTM.

### **Board of Trustees**

5.2 The Board of Trustees, as representatives of the body corporate (the Employer), carry ultimate responsibility for health, safety and welfare. The Board must ensure that a written Health, Safety & Welfare Policy is produced, implemented and reviewed. It delegates the development and implementation of the Policy to the Director, but receives regular updates on health, safety and welfare through the LSTM Executive.

### **Director**

5.3 The Director has overall responsibility to ensure, so far as is reasonably practicable, the health, safety and welfare of all staff and students at work, and of others affected by LSTMs undertakings.

### **LSTM Executive**

5.4 LSTM Executive under the Chair of the Director, reports to LSTM Board of Trustees, and has overall management responsibility for Health Safety and Welfare at LSTM.

### **Chief Operations Officer**

5.5 The Chief Operations Officer is the nominated contact for regulatory bodies.

### **Heads of Departments, Groups and Service Managers**

5.6 Heads have responsibility for ensuring that the operational aspects to enable compliance with this Policy and associated procedures are implemented within their individual areas of responsibility. Heads need to ensure that:

- Adequate arrangements for receiving and disseminating safety, health and welfare information to staff, students, visitors, volunteers and contractors;
- All staff, students, visitors, volunteers, and contractors are given appropriate instruction, information and training, including when changing role;
- All staff, students, visitors, volunteers and contractors are provided with procedures relevant to their role and activities; and
- Copies of any procedural guidance are provided or made accessible to all persons as necessary.

5.7 Heads are responsible for ensuring that any identified risks to health, safety and welfare are eliminated or reduced at source to a level that is as low as reasonably practicable.

## **Principal Investigators, Supervisors and Managers**

5.8 Pls, supervisors and managers have responsibility for ensuring that staff, students, visitors, volunteers and contractors under their line management work safely and so far as is reasonably practicable, without risks to health. In particular, they are responsible for ensuring that:

- Staff, students, visitors, volunteers and contractors undertake an appropriate Health, Safety and Welfare induction.
- Staff, students, visitors, volunteers and contractors are familiar with and comply with the correct procedures for fire or other emergencies, first aid and for the reporting of incidents and near-misses;
- Staff, students, visitors, volunteers and consultants are trained in basic fire safety and know the location of fire-fighting equipment within their area;
- Activities are appropriately risk assessed;
- Staff, students, visitors, volunteers and contractors are familiar and comply with the correct procedures for the use, storage and disposal of potentially hazardous materials, equipment or plant.
- The necessary information, instruction and training are provided with appropriate supervision to ensure safe working practices are adhered to.
- Staff, students, visitors, volunteers and contractors are provided with and make use of appropriate personal protective equipment, clothing and materials;
- Staff, students, volunteers and contractors use machinery, plant or equipment only with the appropriate guards or safety devices in position;
- Staff, students, volunteers and consultants travelling on behalf of LSTM comply with relevant policy and procedures; and
- Health and safety requirements are discussed during appraisal.

## **Staff, Students, Visitors, Volunteers, Contractors and Others (members of the public etc.)**

5.9 All staff, students, visitors, volunteers, contractors and others (members of the public etc.) must adhere to the policies and procedures provided to them as required by this Policy. It is the duty of all staff, students, visitors, volunteers, contractors and others (contractors, visitors, members of the public etc.) whilst on LSTM premises or working at alternative locations on LSTM business to:

- Take reasonable care for the health and safety of themselves and other persons who may be affected by their acts or omissions and the way in which they perform their work activities;
- Co-operate with supervisory or senior staff to enable them to carry out their statutory health and safety responsibilities;
- Report to their supervisor or senior member of staff any situation, work practice or procedure which they recognise to be potentially hazardous or which has been reported to them as such;
- Report incidents and near-misses and any work-related ill health to their supervisor or appropriate senior member of staff, completing an LSTM incident form;
- Use as instructed, and not misuse in any way, personal protective equipment, clothing and/or materials provided by LSTM;

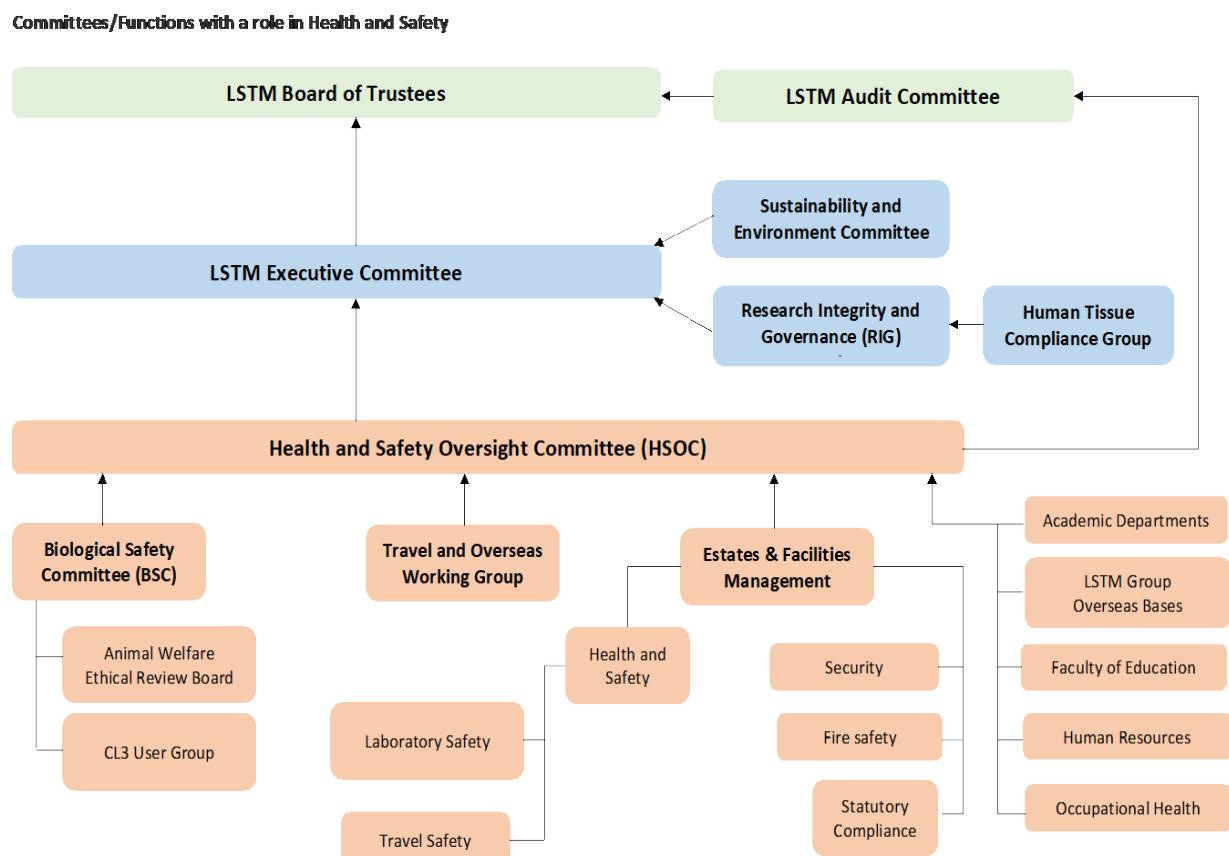
- Comply with any health, safety and welfare procedures, training and instruction, both verbal and written, which are issued to them; and
- Use machinery, plant or equipment only with the appropriate guards or safety devices in position and in line with any training received.

## Representative of Employee Safety

5.10 LSTM will appoint staff and student representatives to the Health and Safety Oversight Committee. LSTM will consult staff and students or their representatives on matters relating to their health and safety, including:

- Any change that may substantially affect their health and safety whilst at work e.g. changes in procedures, equipment or methods of working;
- The process for arranging competent persons to advise on health and safety matters;
- Information to be given on the potential risks arising from work activities, measures to reduce or eliminate these risks and what individuals should do if they have to deal with a risk;
- Planning of health and safety arrangements/controls; and
- Health and safety issues related to the introduction of new technology.

## Health and Safety Management Structure within UK



## **Health Safety Oversight Committee**

5.11 The LSTM Health Safety Oversight Committee (HSOC) convenes a minimum of four times per year. The objectives of committee meetings are:

- To ensure effective arrangements to protect the health, safety and welfare initiatives are developed and implemented;
- To provide a monitoring function and conduit for individual health, safety and welfare functions to the LSTM Executive and Board of Trustees;
- To provide a mechanism for strategic health, safety and welfare objectives; and
- To promote co-operation and effective communication between staff, PIs, supervisors, managers, students and others.

5.12 HSOC exists to promote a positive health, safety and welfare culture, enabling staff, students, PIs, supervisors and managers to contribute to the achievement of the main objective.

### **HSOC Terms of Reference**

## **Health & Safety Office**

5.13 The Health & Safety Office (comprising the Head of Estates, Facilities Manager / Fire Officer, Head of Health and Biological Safety (HHBS), Laboratory Manager, Containment Laboratory Manager, Laboratory Supervisor and Statutory Compliance Officer) plays a vital role within LSTM providing competent and professional advice on a comprehensive range of health and safety issues, to help ensure legal compliance while achieving continuous improvements in the health, safety and welfare culture of LSTM.

5.14 The Health & Safety Office functions include:

- Providing competent and professional health and safety advice to the Director and Board;
- Monitoring the development of UK legislative standards and incorporating them into LSTM procedures, policies and guidance;
- Providing advice, information, instruction and training on health and safety matters to PIs, supervisors, managers, employees, students and others (contactors, visitors etc.);
- Liaising with enforcing bodies to ensure compliance with statutory obligations and maintaining contact with outside agencies able to offer expert assistance;
- Co-ordinating the implementation of approved safety procedures within the organisation, on behalf of the HSOC;
- Bringing to the attention of the HSOC matters requiring policy recommendation or decision;
- Ensuring PIs, supervisors and managers recognise they have a responsibility to establish and sustain a positive health and safety culture and that they are fully conversant with the health and safety performance within their sphere of control and how it compares with acknowledged good practice within the sector;
- Co-ordinating performance risk assessments and providing advice on the implementation of required control measures; and
- Audit and inspection of LSTM facilities and groups.,.

## **Head of Health and Biological Safety**

5.15 The Head of Health and Biological Safety performs a variety of functions concerned with ensuring health, safety and environmental compliance. These functions include:

- Providing advice, information, instruction and identifying training on health, safety and environmental matters to managers, employees, students, visitors, volunteers, contractors and others (members of the public etc);
- Liaison with enforcing bodies to ensure compliance with statutory obligations and to maintain contact with outside agencies able to offer expert assistance;
- Co-ordination of implementing approved safety procedures within the organisation, on behalf of the LSTM HSOC;
- Bringing to the attention of the HSOC matters requiring policy recommendation or decision;
- Assistance as required, in the preparation of health, safety and welfare information for all client groups;
- Providing reports on health and safety issues to the HSOC.

5.16 The Head of Health and Biological Safety acts as Biological Safety Adviser for LSTM, to provide specialist professional guidance and advice on all aspects of biological safety to ensure compliance with relevant legislation and current best practice.

## **LSTM Laboratory Manager**

5.17 The LSTM Laboratory Manager performs a variety of functions concerned with ensuring health and safety compliance with LSTM laboratories.

## **LSTM Containment Laboratory Manager**

5.18 The LSTM Containment Laboratory (CL3) Manager performs a variety of functions concerned with ensuring the safe working within LSTM containment laboratories with a variety of hazardous pathogens.

## **Radiation Protection Supervisor.**

5.19 The Radiation Protection Supervisor under the direction of LSTM's Radiation Protection Adviser (RPA) has responsibility for ensuring that work with ionising radiation is performed safely and without risks to health in accordance with relevant legislation.

## **Statutory Compliance Officer**

5.20 The Statutory Compliance Officer monitors compliance against statutory requirements concerned with ensuring health, safety and welfare, ensuring that all regulatory inspections, testing and maintenance is carried out. LSTM has procedures in place to manage such statutory compliance, including:

- Fire alarm systems;
- Fire-fighting equipment active / passive;
- Asbestos risk assessments / register and inspections;

- Legionella – risk assessments / monitoring;
- Lifts / lifting equipment;
- Pressure systems;
- Electric and gas systems;
- Portable appliance testing;
- LEV systems;
- Insurance inspections.
- Critical laboratory Plant and Equipment

## **Fire Officer (Facilities Manager)**

5.21 The LSTM Fire Officer will advise the HSOC, staff, students, volunteers, consultants, contractors and, visitors on matters relating to fire precautions and emergency procedures.

5.22 The Fire Officer will undertake and agree any Personal Emergency Evacuation Plans (PEEPs) required and that Fire Wardens are trained in these.

## **Fire Wardens, Evac+ Chair Handlers and Emergency Incident Manager**

5.23 These are nominated and trained individuals with responsibility for taking action during a fire or other emergency, ensuring controlled evacuation, assembly at external assembly points and prevention of re-entry into the evacuated building until the Fire Service state that it is safe to do so. A list of trained individuals is available on the LSTM intranet and from HR.

## **First Aiders**

5.24 These are trained volunteers who have three primary responsibilities:

- To provide first aid treatment for the purpose of preserving life and minimising the consequences of injury and illness until help from a medical practitioner or nurse is obtained;
- To provide first aid treatment of minor injuries which would otherwise receive no treatment, or which do not need treatment by a medical practitioner or nurse; and
- To ensure the maintenance of first aid kits.

5.25 A list of trained individuals is available on the LSTM intranet and from HR.

## **Contractors and Visitors**

5.26 LSTM has a responsibility to ensure that whilst a Contractor is on LSTM premises both parties' activities do not expose themselves or others to health and safety risks, so far as is reasonably practicable. Co-operation and coordination between all parties is essential to provide suitable information and instruction to enable assessment of any risks. LSTM provided [Safety Information and Guidance](#) pertaining to LSTM site to all contractors

5.27 Contractors and visitors have an obligation to LSTM to inform the relevant manager/supervisor/PI of any hazardous activities they will undertake which is outside LSTM normal operations. They should provide an appropriate risk assessment or method statement that provides the necessary

information for LSTM to agree their activities prior to these starting, to allow any additional control measures to be implemented.

5.28 LSTM employs a permit to work system where contractors will work in a potentially hazardous environment, to ensure it is safe for them to do so and that the area is under their control whilst they undertake the necessary work.

## **6. Monitoring, Inspection, Audit and Review**

6.1 The Head of Health and Biological Safety and the Head of Estates will arrange regular audits and inspections of LSTM laboratories, premises, environment, plant, substances, people, procedures and systems. This is to ensure the effectiveness of the implementation of this Policy and its associated organisational and procedural arrangements.

6.2 Additionally, audits of the LSTM management arrangements for health, safety and welfare are undertaken by internal auditors as appointed by the Board of Trustees and by external auditors acting on behalf of funders and partners.

6.3 Feedback on audits and inspections will be distributed to the relevant Heads of Group / Service and PIs, supervisors and managers as required. The auditor will agree actions with area PI's, staff and students for implementation of any necessary corrections or improvements. Audits, actions and progress against these will be reported to HSOC.

6.4 This Policy will be reviewed every two years by the Head of Health and Biological Safety in consultation with HSOC, or as required by changes in legislation, audit and inspection, the results of proactive monitoring, incident investigations or changes to LSTM organisational structure or operations.

6.5 Incidents (including near misses) occurring at LSTM are reported via the on-line process. The area/function manager will conduct an initial investigation into the incident and in consultation with the appropriate member of LSTM Safety Office identify any actions required. The investigation is reviewed by the Head of Group/Function and approved before sending to the Head of Health and Biological Safety for agreement of the investigation. The Head of Health and Biological Safety reviews incident statistics and will make recommendations for further investigation if needed. The HHBS reports the incident statistics to HSOC.

## **7. Health and Safety Strategy**

7.1 LSTM has implemented a five-year health and safety strategic framework (September 2022) for developing and maintaining health, safety, and wellbeing across the wider LSTM Group (LSTM, IVCC, WTC) and Global Hubs. At International sites staff, students, volunteers should comply with local Health and Safety Legislation in addition to this Policy.

7.2 LSTM recognises that because of the nature of the work it undertakes globally, its activities are not risk free. LSTM needs to develop an organisational culture that strives to:

- Continuously improve health and safety.

- Positively engage with staff, students, and visitors so that they can recognise potential risks, report incidents/near misses, and reduce harm.
- Minimise the opportunity for accidents, injuries, and illness to occur.

7.3 The strategic plan identifies five high level risk areas, which form the pillars of our strategic HSW framework:

- Working with Hazardous Materials
- Overseas Travel Safety and Field-based Research
- People and Wellbeing
- Emergency Preparedness and Business Continuity
- Safe Estates, Facilities and Equipment.

7.4 Leadership, partnership and communication of information, are cross cutting themes of LSTM approach to HSW.

7.5 A series of Key Performance Indicators (KPIs) has been developed for each of the five areas. The KPIs will be split into three phases over the five years. The KPIs will be monitored by HSOC and reported to the LSTM Executive. The KPIs will inform areas for improvement in management of health and safety and will be reviewed and updated in response to the information generated and to changes in LSTM health and safety strategy.