



# CHASTE II

Final Report to  
Scottish Funding Council  
April 2011



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## Introduction

1. The CHASTE Project is a not-for-profit project, under the direction of the University of Edinburgh, which has provided health and safety support services to the Tertiary Education (university and college) sector in Scotland. CHASTE has offered services to both sectors in terms of development of best practice, support to strategic planning processes in individual institutions, to the enhancement of corporate governance, statutory compliance and reputation management. The CHASTE Project has been funded by the Scottish Funding Council in two phases: CHASTE I (November 2004 to April 2008) and CHASTE II (May 2008 to April 2011).
2. The initial phase of the CHASTE Project identified significant inconsistencies and variations in standards of health and safety management and performance across the College sector in Scotland, in which the competence of health and safety advice available to institutions, in terms of the Management of Health and Safety at Work Regulations, 1999, was a major issue. In the universities and other HEIs, the need for continued support, in terms of maximising effectiveness, presented itself as the central issue. CHASTE also identified instances of good practice, recommended methodologies to develop these into best practice, and facilitated the sharing of best practice.
3. Following CHASTE I, major challenges continued to face the college sector, in particular. In health and safety terms it is essential to ensure that robust processes are embedded in strategic planning to resolve the inherent risks presented by previous poor performance and non-compliance with statutory provisions, in the majority of institutions.
4. The university sector has a need to continue to develop its strategies, particularly in terms of its health and safety service provision and its related abilities to influence senior managers and continue to develop effectiveness.
5. We believe that CHASTE has been an important component in the development and enhancement of concerted systems for ensuring consistency of high performance standards in the Tertiary Education sector in Scotland.

## **Mission Statement**

6. As a reminder, the following Mission Statement was included in the original funding submission for CHASTE II:

“CHASTE is dedicated to providing all Scottish Higher and Further Education Institutions with the highest quality occupational health and safety support services to facilitate the development and growth of risk management systems fit for purpose in line with the UK Government Strategy - '2010 and Beyond' and the Scottish Action Plan for Health and Safety.”

7. The goal is to create a positive ethos that fosters improved confidence in embedded processes to identify, manage and control risks to the individual Institution's population and reputation. The intention is for CHASTE to leave a sustainable legacy in terms of the development of substantive health and safety management provision in both sectors.

## **Strategic Objectives of CHASTE II**

8. The strategic objectives of CHASTE II built upon the foundations laid during the initial three and a half years of the CHASTE Project, to put in place processes to support the identification and dissemination of best practice across the University and College sectors. The continuation of the CHASTE Project into a second phase primarily provided a resource for guidance, advice, development and training across Scotland's universities and colleges, responding reactively according to sector demands and acting proactively by development and introduction of strategic alliances with key stakeholders in both sectors. This cross sector service took account of the variances in positioning and demand in terms of the primary issues apparent in each sector.
9. For the period from May 2008 to April 2011 The Project's primary objectives were as follows. These correspond with the objectives detailed in the original submission for funding for phase two of the Project. Please also see Appendix One, which comprises the full, completed Operational Plan for CHASTE II.

## 10. Objectives: Cross Sector

- Support the Scottish Funding Council with advice and management information regarding the application of the Scottish Executive 'Scottish Action Plan for Health and Safety' and supporting both Higher and Further Education Institutions in that regard
- Facilitation and provision of guidance, support and development of effectiveness, by helping to raise standards of health and safety in universities and colleges
- Provision of training, information and support to senior management across both universities and colleges (including Boards of Management/Governing Bodies where appropriate)
- Facilitate a series of seminars on relevant subjects for both sectors
- Support interface between health and safety and human resources services across both sectors, with related key topics such as absence management, occupational health, health promotion etc.

## 11. Objectives: University Sector

- Form strategic alliances with particular universities on individual topics, such as stress, occupational health, contingency planning etc. with the aim of helping to disseminate best practice
- Pioneer innovative training inputs, for example behavioural training to address aspects of health and safety culture, influencing senior managers towards change and development
- Encourage and support universities to form alliances and collaborate with colleges in their own geographical areas
- Promote an ethos of more effective interaction between health and safety professionals and other key stakeholders in universities, such as Estates Departments, Human Resources Services, Finance Directorates etc.

## 12. Objectives: College Sector

- Initiate and develop a health and safety community of practice for the college sector
  - Introduce, develop and manage a system of benchmarking incidents and occupational health statistics, possibly incorporating a web-based approach
  - Provide a service of support in terms of advice where necessary
  - Identify issues of best practice and direct development and implementation where necessary
  - Provide support to the professional development of health and safety staff in the sector
  - Advise on the development of appropriate occupational health and safety management standards
  - Support to Human Resource services in the college sector on the application and effective delivery of appropriate occupational health services
  - Support to Her Majesty's Inspectorate of Education (HMIE) in terms of training and advice to Inspectors regarding occupational health and safety elements of Inspections
13. These objectives were clearly defined within the Operational Plan, which set measurable milestones and targets for the duration of the Project. Progress against the Operational Plan is set out in Appendix 1.

## Project Structure

14. The structure of the second phase of the CHASTE Project was similar to that of the first phase. The Project was directed by a Steering Group, with representation from appropriate key stakeholders such as SFC, Universities Scotland and Scotland's Colleges, and the STUC.
15. Alastair Reid fulfilled the role of Project Leader, providing operational direction and support to the Project. Donald Blue and Les Allan delivered the core services as Project Coordinators, with administrative support from the CHASTE Project Administrator, Susan Woodman; the CHASTE Office was located within the Health and Safety Department of the University of Edinburgh. A range of additional professional services were provided by the Health and Safety Department of the University of Edinburgh, in support of the Project Team, when required.



16. The Project's Operational Plan (Appendix 1) was the vehicle for management of the delivery of the Project from its inception to exit and facilitated a regular reporting mechanism to the Steering Group and to the Scottish Funding Council.

## **Steering Group**

17. The Steering Group was revitalised for the second phase of the Project and was given an amended remit specifying its role in support of the Project. The Steering Group enhanced the Project by moderating and monitoring its progress and brought significant added value by influencing colleagues to embrace the concepts of the Project's strategic objectives.
18. The revised membership of the Steering Group included a representative from Scotland's Colleges, a representative from Universities Scotland, one senior representative from a University, one senior representative from a College and a senior member of the STUC. The Project Leader and Co-ordinators and a representative from the Scottish Funding Council attended Steering Group meetings in an ex-officio capacity. Administration and secretarial services to the Steering Group were provided via the Project Administrator.
19. The remit of the Steering Group encompassed the following:-
  - provide strategic direction to the project, within its overall scope as agreed by the Scottish Funding Council, before the project started
  - agree the objectives, targets and outputs proposed by the Project Team, all to be detailed in the Project's operational plan; and any significant changes to these
  - monitor progress in progressing the operational plan
  - help to ensure that the benefits from the Project are appropriately identified, spread and targeted across the college and university sectors
  - where appropriate, help to effectively disseminate information on the Project's objectives within members' respective spheres of influence
  - help to guide and champion the Project through the prevailing landscape affecting college and university education and advise on feedback to the Scottish Funding Council
20. Operationally, the Steering Group had a permanent chair person, and was chaired by an elected member of the Group, when the permanent Chair could not attend. The Steering Group met every three months at mutually convenient dates, times and locations. Minutes and papers from each meeting were circulated to Steering Group members and published on the CHASTE Project website.

21. The Steering Group held its inaugural meeting during June 2008 and thereafter met quarterly.

# Health and Safety in Scotland's Universities

## Introduction

22. In this section, issues are identified and conclusions drawn on the current situation relating to health and safety management and how this may have changed since the CHASTE I Final Report to Scottish Funding Council which was published in April 2008. The conclusions are based on the judgement of the CHASTE Project team. The evidence base for these conclusions comes from return support visits to universities, the replies to a CHASTE letter to all Scottish universities seeking an update on the implementation of the recommendations which were contained in the original university support visit reports (93% return), structured interviews with approximately 30% of Scottish University Health and Safety Practitioners, and general interaction and discussion the CHASTE team has had with colleagues in various positions in the university sector over the last three years.
23. The CHASTE I Final Report discussed university health and safety management in terms of the headings developed for a pro forma utilised as a checklist during higher education support visits. To ensure continuity between the CHASTE I Final Report and this, the CHASTE II Final Report, university health and safety management will be discussed with reference to the same headings. The subject headings are as follows:
- a. Health and Safety Strategic Structure
  - b. Health and Safety Advisory Service Structure
  - c. Occupational Health Provision
  - d. Effectiveness of Health and Safety Committee
  - e. Radiation/Biological/Chemical Safety Management
  - f. Departmental Health and Safety Management – organisation arrangements and procedures
  - g. Training and Information
  - h. Estates Issues
  - i. Fire Safety Management
  - j. Emergency Planning/Business Continuity Management

### **a. Health and Safety Strategic Structure (Paragraphs 20-27, CHASTE I Final Report)**

24. Much in the original report is still valid, in particular Paragraphs 21 and 26 state: "the single biggest factor (on how the University's Health and Safety Policy is implemented in each department) being the understanding by the head of department of the importance of robust health and safety management within their sphere of control and subsequently their visible commitment to implementing the University's Health and Safety Policy."

25. "Although a strong incentive (legal compliance), it may be that more emphasis needs to be placed on the business case for strong health and safety management within the university sector. The argument that every incident, accident, every case of occupational ill health is a (unnecessary) drain on the resources of the university/school/department/unit needs to be emphasized." (Paragraph 26, CHASTE I Final Report)
26. Closely associated with both paragraphs above is health, safety and risk management training for heads of department (or equivalent). It is imperative that such senior managers are given appropriate training to ensure they understand their responsibilities and how to fulfil them. Such training needs to include information on the true cost of accidents and occupational ill health to their universities which is not always transparent. For example, the cost of cases of civil litigation ensuing from academic departmental activities is not always obvious to the department. The University's insurers will pay any costs awarded by the courts (or out of court settlements) but will inevitably increase premiums. In all probability this will not directly effect the financial situation of the department. Although a small number of universities have made health and safety training for heads of departments compulsory (half day being typical), there has been little advance in the situation. Also, please see paragraph 44 of this report.
27. At present all universities have either introduced or are exploring the implementation of various health and safety auditing systems. A small number (less than 25%) are using the HAZ-MAP system which was developed approximately four years ago by the Universities Safety and Health Association (USHA). Although specifically developed for the university sector, for a number of reasons it has not been considered appropriate by the majority of Scottish universities. However, it should be noted that two universities using the system are discussing the possibility of using HAZ-MAP to audit each others' institutions, which has obvious advantages.

#### **b. Health and Safety Advisory Structure (Paragraphs 28 – 33, CHASTE I Final Report)**

28. The present economic climate is having an obvious effect on the financial resources allocated to universities. This will have a knock on effect to resources allocated to university departments including the health and safety function. As university senior management look increasingly to health and safety departments to be more efficient, as well as effective, we are seeing health and safety departments being asked to include in their portfolios a variety of new, less traditional functions eg. public health, insurance, risk management, business continuity management etc. As well as the above, health and safety departments like all other administration departments are being reviewed by university senior

management and are being expected to make financial cuts in staffing and running cost budgets in line with all other departments. This “doing more with less” culture has obvious challenges for University Health and Safety Practitioners and senior managers responsible for health and safety. The following needs to be considered:

- University Health and Safety Practitioners need to ensure their professional development includes obtaining the appropriate skill sets to carry out any new functions they may be allocated.
- University Health and Safety Practitioners’ growing appreciation of the importance of “soft” non technical skills eg. emotional intelligence, good interpersonal and communication techniques which define their ability to influence senior management needs to be encouraged and appropriate training given. As part of its programme of cross sector initiatives, CHASTE organised a seminar for Health and Safety Practitioners from the university and college sectors, which has helped them to develop such skills. The University Safety and Health Association (USHA) is also exploring the possibility of facilitating a number of courses and seminars to improve University Health and Safety Practitioners’ skill set with regard to such techniques.
- A number of universities are exploring the possibility of sharing health and safety services. Indeed one university at present is sharing their University Health and Safety Practitioner with a local college. It is of paramount importance that any such system does not lead to the quality and appropriate level of competent advice being available to senior managers and the academic community being diminished. It must be remembered that, for University Health and Safety Practitioners to be effective, they must have a good understanding of the management culture of the university in which they work. No two Scottish universities have the same management culture which is an important factor which must be considered when evaluating the possibility of sharing health and safety services. Another factor which needs to be considered is the level of ownership of health and safety management by academic and support departments in any institutions considering sharing advice and services. If there is not a high level of such ownership it is unlikely that any shared service will be effective.

29. As recommended in the original report, the vast majority of universities have reviewed and rationalised their relationship between the University’s Health and Safety department and the health and safety management of their Student Union. This relationship does not now seem to be an issue.

### **c. Occupational Health Provision (Paragraphs 42 – 54, CHASTE I Final Report)**

30. Every Scottish university has reviewed its occupational health (OH) provision over the last three years. This has been stimulated by a number of factors:
- Advanced Procurement for Universities and Colleges' (APUC) initiative to produce a joint contract for OH provision for universities and colleges.
  - A revitalised interest by the Health and Safety Executive (HSE) (through their Disease Reduction Programme) in OH provision in tertiary education (two colleges have had enforcement action taken by the HSE due to their lack of OH provision).
  - Continuing Government emphasis on strong absence management procedures within the public sector.
  - Recommendations by the CHASTE team regarding individual university's OH provision after support visits.
31. In general, these reviews have led to more focussed OH risk assessments which have helped universities match their OH provision to the university's needs. This has led to an increased appreciation of the importance of strong OH provision and, in turn, has increased the level and quality of OH provision within Scottish universities.
32. At the time of writing, universities are assessing how best to utilise the various OH provisions potentially offered by the APUC joint contract. It will be some time before the uptake of the various strands of the contract will be obvious and its success can be assessed.
33. Paragraph 51 of the original CHASTE report stated "the publication of an effective stress management policy is pivotal to demonstration of organisation-wide commitment and effective control of the stress risk profile." It was therefore disappointing to find, during support visits, that a number of universities had not published stress management policies. However, this situation has improved over the last three years and all Scottish universities have now published appropriate policies or strategies.
34. Although, as stated above, all universities have published policies, there is very little information with regard to how effective these policies actually are. This lack of information affects not only stress, but all cases of occupational ill health within the sector. There is a general consensus amongst health and safety and OH professionals within Scottish universities that there is wide-spread under-reporting of occupational ill health including stress. It would be extremely prudent to develop an

initiative (which could be jointly led by the Scottish University Safety Advisers Group [SUSAG] and the University Occupational Health Practitioners Group) to improve the quality of OH information, and hence help the effectiveness of management in the allocation of resources to occupational health and safety.

#### **d. Effectiveness of the Health and Safety Committee (Paragraphs 34-40, CHASTE I Final Report)**

35. The points made in paragraphs 34 – 40 of the original report still are valid three years on from its publication. In particular “All HE institutions have Health and Safety Committees. Not all of these committees have membership representation as recommended in the Health and Safety Commission guidance document L87 – “Safety Representatives and Safety Committees” – in that they do not have the same number of Trades Unions Safety Representatives (TUSRs) as management appointed representatives. This does not seem to diminish their effectiveness as issues are discussed and resolved by consensus rather than by vote. In general, the majority of Health and Safety Committees were found to have some role, to a greater or lesser extent, in the planning and development of the university’s Health and Safety Policy and procedures, as well as being the main forum for consultation with Trades Unions in health and safety matters. The extent of this role varies from university to university; only in a small number of universities were changes to the Health and Safety Policy and draft local rules not fully debated and approved by the Health and Safety Committee”. (Paragraph 38, CHASTE I Final Report).
36. “.... It was clearly established during the Support Visit programme, taking account of the views of staff including TUSRs, that the more senior the member of staff chairing the committee, the greater the perception by university staff of the Committee’s effectiveness.” (Paragraph 35, CHASTE I Final Report). It is interesting to note that an increasing number of University Health and Safety Committees are being chaired by senior management at Assistant/Deputy Principal or Principal level. Again, there is evidence that many University Health and Safety Committees now include lay members of the University Court. Both these factors can only help the effectiveness of university Health and Safety Committees.

Two other issues are worth noting:

- it was found during some support visits that the University Health and Safety Practitioner (UHSP) was Secretary to the Health and Safety Committee and also took the Minutes. For various reasons, CHASTE has tried to discourage this practice and has had some success in that in a number of cases although the UHSP is still Secretary to the Committee, there is also now a Minute Secretary responsible for taking the Minutes of meetings.

- Training for Health and Safety Committee members is still an issue. Very few universities actually give any thought to training Health and Safety Committee members in their role. If appropriate training was given it could significantly improve the effectiveness of such committees.

**e. Radiation/Biological/Chemical Safety Management  
(Paragraph 41, CHASTE I Final Report)**

37. The last sentence of paragraph 41 stated "it may be worth considering defining a standard level of training which members of staff must complete before they can be appointed as a university Radiation Protection Supervisor (RPS)." Although there seems to be a general consensus amongst University Health and Safety Practitioners that such training is required, very little has been done to move this issue forward. CHASTE would recommend that defining a standard and delivering training to that standard for RPSs be made a priority for university health and safety departments/radiation protection services.
38. It also became apparent that there was a gap in biological safety training provision for staff working in biological and biomedical research in Scottish universities. To improve the situation CHASTE facilitated the formation and administration of the Northern Biosafety Training Centre (NBTC) (a collaboration involving four Scottish universities) to deliver biological safety training. The course, accredited by the UK Institute for Safety in Technology and Research (ISTR), allows candidates to obtain a professional qualification which is recognised by the European Biosafety Association (EBSA) and is in line with the CEN Workshop Agreement on Biosafety Practitioner Competence. Supplemented by a requisite number of years' experience, a successful candidate can apply to become a Level One Biosafety Practitioner; candidates whose knowledge and experience increase satisfactorily, can progress to Level Two Biosafety Professional competence, by means of portfolio submission to ISTR. At the time of writing, 25 people have successfully completed the Level One course at NBTC.

**f. Department Health and Safety Management –  
organisation arrangements and procedures  
(Paragraphs 55-60, CHASTE I Final Report)**

39. Many of the points made within this heading in the original report still hold true. In particular "no matter how effective the university Health and Safety Policy looks on paper arguably the single most important factor in its effectiveness is how the policy is implemented at department (or equivalent) level both academic and support."



“It seems the single most important issue in establishing a strong health and safety management system in each department is the visible commitment of the head of department.” (Paragraph 56, CHASTE I Final Report).

“It is imperative that heads of department accept the responsibilities in the university’s health and safety management system. The University Governing Body and senior management have a crucial role to play to ensure the head of department (who is, after all, still a university employee) has an appropriate support framework, eg. appropriately detailed Health and Safety Policy, appropriate resources, training and “competent advice” from the University Health and Safety Practitioner and other specialised advisers, eg. radiation protection, biological safety, OH etc. However, it is also important that the university ensures that all heads of department, as with all other university employees, know that they will be held accountable for their health and safety management performances.” (Paragraph 58, CHASTE I Final Report).

40. As already discussed in paragraphs 5 and 6, the above again highlights the importance of appropriate health and safety management training for heads of department.
41. All heads of department should complete an annual report regarding their department’s health and safety management performance. At least a summary of these reports should be submitted to the University Court. It should be remembered that the University Court has a legal obligation to monitor that all statutory requirements are being met and appropriate standards applied.

### **g. Training and Information** **(Paragraphs 61-64, CHASTE I Final Report)**

42. As stated in the previous report, “...in general the health and safety training offered and delivered (or facilitated) by University Health and Safety departments is extremely comprehensive and professional and should be commended.” However, as discussed in previous paragraphs, and although there has been some improvement in provision over the last three years, the lack of formal health and safety training for heads of department (or equivalent) is still a serious issue.
43. Unfortunately paragraph 62 of the original report is still extremely pertinent. “The majority of universities either do not offer health and safety management training to heads of department or, more likely, the training which is offered is not compulsory and due to other commitments very few heads of department attend – the bottom line being many university heads of department have had no or insufficient health and

safety management training. This is, arguably, the single biggest issue with regards to health and safety training within the university sector and needs to be addressed. Novel methods of training delivery (eg. web-based training) need to be considered and implemented in order effectively to reach and influence these extremely busy individuals.”

44. Other areas of health and safety training which should be reviewed and included in individual university training needs analysis are:
- Health and Safety Committee members
  - Departmental safety convenors
  - Radiation Protection Supervisors
  - Principal Investigators
  - Staff involved in biological work

#### **h. Estates Issues** **(Paragraphs 65-69, CHASTE I Final Report)**

45. It is apparent that all universities have appropriate strategies and facilities within existing Estates departments to appropriately manage the majority of activities they are expected to control.
46. During the CHASTE support visit programme to universities 2004-2007, there was evidence to show that a number of universities, even although they might have had “approved” lists for external contractors, the vetting procedures did not include enquiries regarding the health and safety performance of the contractor.
47. It was also evident that the control of contractors was poorly managed in a number of universities.
48. There is now evidence to show that there has been a significant improvement (over the last 3-4 years) in both vetting contractors safety performance before appointing them to approved lists and the management of contractors on university premises. However, there is no room for complacency as failure to effectively manage contractors presents a significant risk exposure to the university. All University Estates departments should be striving for continuous improvement when considering procedures and arrangements for managing contractors.

**i. Fire Safety Management**  
**(Paragraphs 70-73, CHASTE I Final Report)**

49. Concern was expressed in the original report with regard to the fact that a number of universities did not have specialist competent fire safety advice as required by the Fire (Scotland) Act 2005. At the time of writing, there is only one university which does not have an appropriately qualified and experienced member of staff (or service agreement with a consultant) who, if not full time, may be part time or part of a shared service agreement.
50. Most universities have completed or are just about to complete fire risk assessments for all their buildings. This operation has been seen very much as a team effort involving appropriate staff from Health and Safety and Estates departments. The resources involved should not be underestimated and the fire risk assessment process has been a significant challenge to the departments involved.
51. Although much work has been done within the university sector to help implement effective Personal Emergency Evacuation Plans (PEEPS) for the disabled, particularly the non-ambulant, it is still proving a challenge. CHASTE still believes that both the university and college sectors should initiate dialogue with senior representatives of all Scottish Fire and Rescue services to discuss and disseminate best fire safety practice in general and PEEPS in particular in both the university and college sectors.
52. Comment was also made in the original report re the inadequacies in some universities' fire safety arrangements including managing fire evacuations and fire safety training. The evidence seems to show there have been improvements in these areas. However, CHASTE would recommend that all universities continually review their fire safety provision, particularly in the light of the newly published "The Fire Safety (Scotland) Amendment Regulations 2010".

**j. Emergency Planning / Business Continuity Management**  
**(Paragraphs 74-75, CHASTE I Final Report)**

53. The CHASTE original report stated that, in general, emergency and contingency planning is well managed in all universities. However, the H1N1 flu pandemic (Spring 2009) highlighted concerns from university and college senior management that their procedures and arrangements for managing business continuity in general, and pandemic flu in particular, might not have been as robust as was necessary. Although not a core activity, CHASTE decided, due to demand from universities and colleges, to facilitate two joint sector seminars covering both general business continuity management (BCM) and pandemic flu. Both seminars

were well received and will go some way to helping to ensure increased effectiveness in response to pandemic flu and BCM issues.

## **University of the Highlands and Islands**

54. Due to the unique challenge of having an interest in 13 academic partners with varying risk profiles, CHASTE has always treated UHI Millennium Institute (UHI MI) as a unique tertiary education organisation. CHASTE has worked closely with UHI MI and its various academic partners to facilitate the formation of its Health and Safety Committee. Over the last three years, CHASTE has further supported UHI MI in its strategies to continuously improve its health and safety management. UHI MI's health and safety philosophy has evolved (rightly so) to the point where they have stated a basic standard of legal compliance they expect their academic partners to meet eg. competent advice, health and safety policy, risk assessment procedures etc, but recognise that academic partners are employers in their own right and it is their responsibility to set more prescriptive standards. They also have recognised that UHI is also an employer in its own right and needs its own health and safety competent advice and bureaucracy. As Scotland's newest university, this would be a good time for UHI to review its health and safety management policies and procedures to ensure their robust enough to meet the challenges of the coming years.

## **Health and Safety in Scotland's Non-University HEIs**

55. Whilst traditionally funded similarly to universities and having other characteristics analogous to those of universities, the range and type of activities undertaken and the issues faced by Glasgow School of Art dictate that they manage health and safety in a way that is much more akin to colleges than to universities. Therefore, the comments and conclusions relating to the college sector are cogent to the conclusions drawn from support visits to Glasgow School of Art.

On the other hand, the risk profile of the Scottish Agricultural College is more akin to that of a university and the comments and conclusions for such are pertinent.

Although a CHASTE Project Coordinator had a meeting with a senior manager from Royal Scottish Music and Drama, it cannot be construed as a support visit.

## Universities - Conclusions

56. In general, health and safety management is of a high standard in Scottish universities. University Health and Safety Practitioners and their staff are of high technical competence. However, there is an increasing understanding amongst university safety professionals and their senior managers that as important as technical competence is, the ability to influence senior management and academic colleagues. For university health and safety staff to be effective, their professional development must reflect the acknowledgement of the importance of influencing, communication and behavioural skills.
57. No matter how comprehensive the university Health and Safety Policy may look on paper, arguably the single most important factor in its effectiveness is how the Policy is implemented at department (or equivalent) level both academic and support. To a large extent this is dependent on the visible commitment of the heads of department which in turn is dependent on effective health and safety management training for heads of departments.
58. Senior managers in universities have an important role to play in promoting the idea of ownership of health and safety management by particularly the academic community. The myth that health and safety management is purely the role of the Health and Safety department is being dispelled but the pace of this needs accelerated.
59. The recent joint contract for OH practitioners in universities and colleges, facilitated by APUC, should hopefully continue to expand the provision and quality of OH in Tertiary Education in Scotland.
60. The added value of the APUC OH contract is that it has the potential to give more management information regarding occupational ill health in Tertiary Education. It is generally accepted that, although accident/incident information is effectively gathered and analysed, occupational ill health is seriously under reported. Better information from whatever source regarding occupational ill health will allow senior management to more effectively and efficiently allocate resources to occupational health issues.
61. The HAZ-MAP (health and safety management and auditing system) developed by the Universities Health and Safety Association (USHA) has not been universally adopted and is utilised by less than 25% of Scottish universities. However, the universities using the system have reported their satisfaction regarding its effectiveness. For any university health and safety management system to be effective, there **must** be a health and safety auditing component at both corporate and school/departmental level. There are a variety of auditing systems which can be used and they need not be proprietary systems such as HAZ-MAP or OHSAS 18001, but

- whatever system is being used, it must give an accurate objective assessment of the university's health and safety management systems.
62. The formation of the Scottish Colleges' Health and Safety Community of Practice (HS CoP) now gives a focus for communication and liaison with health and safety professionals in the college sector which has been lacking in the past. This should allow a sustainable interaction between SUSAG (Scottish Universities Safety Advisers Group) and the HS CoP to continue joint sector communication and initiatives which originally had been facilitated by CHASTE.
  63. SUSAG should continue to improve and expand its liaison and cooperation with other stakeholders in university health and safety such as Scottish Association of University Directors of Estates (SAUDE), Universities Safety and Health Association (USHA), Higher Education Safety and Health Forum (HESH), Universities and Colleges Employers Association (UCEA).
  64. In the current economic climate, university Health and Safety departments cannot expect to be exempt from funding cuts affecting all other university departments. It is therefore imperative that university health and safety professionals can demonstrate to their senior management a cost/benefit analysis of the investment of resources required to advise, monitor and implement a robust health and safety management system.

# Health and Safety in Scotland's Colleges

## Introduction

65. In this section conclusions have been drawn, based on the professional judgement of the CHASTE team, relative to the current quality and maturity of health and safety management systems in colleges in Scotland and their related capacity to demonstrate robust compliance with statutory health and safety requirements. These conclusions were formed following detailed analysis of individual college responses to the Health and Safety Executive communication of May 2010 (36 responses) and the separate CHASTE communication requesting updated response to original support visit reports in June 2010 (30 responses). Further information was obtained via analysis of HM Inspectorate of Education reports since 2008; follow up support visits and other specific assistance to colleges and from the CHASTE team's knowledge of the sector via networking, seminars, regional meetings and regular interaction with HSE Policy Advisors and with the Scottish Centre for Healthy Working Lives.
66. For ease of reference within this section the CHASTE team provides an update of the primary issues originally examined during support visits to colleges in Scotland during the first phase of the Project from 2004 to 2008. The collective outcomes of those support visits were consolidated and detailed within the CHASTE final report to the Scottish Funding Council dated April 2008. During this second phase of the Project the CHASTE team has also conducted support visits to the three colleges which were unable to participate in the original exercise and to one college which has been incorporated in the recent past. The additional information gathered during those support visits is incorporated within this update.
67. The 13 key performance indicators used by the CHASTE Team during support visits to ensure consistency of approach and to assist in identifying trends, helped to provide an accurate overview of health and safety provision and effectiveness throughout the college sector during the first phase of the Project.

68. The menu of subjects for the 13 performance indicators is not exhaustive and each heading has sub-group discussion points. The main headings were as follows:

- a. Health and Safety Management Systems
- b. Competent Advice
- c. Health & Safety Committees
- d. Risk Assessment
- e. Incident Management
- f. Fire Safety
- g. Statutory Testing & Inspection
- h. Estates Issues
- i. First Aid Provision
- j. Occupational Health
- k. Training and Information
- l. Student Placements
- m. Emergency Planning / Business Continuity Management

**a. Health and Safety Management Systems  
(Paragraph 91, CHASTE I Final Report)**

69. All colleges visited had some form of health and safety management system in place. These varied in quality and compliance with statutory requirements from poor to very good. A significant number of colleges had good written policies and procedures in place; however, some were recently developed and were not well implemented across the college. In many cases, considerable work was required to ensure appropriate implementation of the college policy. A few colleges had excellent systems in place which were fully operational and effective.

**Position in 2011**

70. In general, the health and safety management systems in colleges in Scotland have continued to evolve in both quality and effectiveness. In particular, many of the colleges which the CHASTE team had previously considered to be poor performers, in health and safety terms, have demonstrated significant development and application of policies and revised systems. Conversely, a few of the colleges which would have previously been considered as very good performers have allowed their health and safety management systems to decline in effectiveness. A minority of colleges (exclusively from those which the CHASTE team would have termed as poor performers) have not taken specific cognisance of the strategic importance of effective health and safety management with the inevitable effect that they would find great difficulty in demonstrating statutory compliance or good practice. Two colleges have improved their health and safety management system to a condition whereby they have recently been awarded the internationally recognised quality standard OSHAS 18001. These are significant achievements in



being the first awards of this standard in tertiary education in Scotland. Three other colleges are currently working towards achieving that same standard.

## **b. Competent Advice**

### **(Paragraphs 92, 93 & 94, CHASTE I Final Report)**

71. A small number of colleges had competent advice provided via a full time, suitably qualified, health and safety professional who had developed appropriate health and safety management systems and were instrumental in the support and implementation of such systems. Most colleges with that level of competent advice had robust health and safety management systems in place and were good performers in health, safety and risk management terms.
72. However, in many instances there was a degree of ambiguity as to whether the advice, in health and safety terms, could be considered "competent" due to the qualifications (the vast majority had only very basic health and safety qualifications) and experience of the Health and Safety Practitioner. Very often, such Health and Safety Practitioners were lecturers or Estates Managers who also fulfilled the Health and Safety Practitioner duties. In the cases where the Health and Safety Practitioner was also the Estates Manager, there were obvious conflicts between one person fulfilling both of these roles which was usually to the college's detriment in terms of health and safety management.
73. The fact that many of those people had only a limited time to carry out their health and safety duties was not conducive to robust health and safety management. Colleges where such circumstances prevailed were invariably average or poor performers in health, safety and risk management terms. In the above situation, the professional development of such Health and Safety Practitioners should have been seen as a priority for the college.

### **Position in 2011**

74. Overall the standard and provision of professional competence has risen significantly in recent years. This improvement has primarily been derived from colleges recognising the co-relation between quality health and safety management systems and the access to competent advice. This issue has certainly been the prime factor in the increase in quality and effectiveness of health and safety management systems, particularly in the instances of colleges previously considered to have been poor performers. Most colleges have recognised the need to have competent advice as a stand alone function and have moved away from combined roles, particularly where the combination was with an Estates Manager function. There are still some colleges in which one person divides the role with part of their time spent in a lecturing or quality assurance

function. Unfortunately there is still a minority of colleges who are either unable or unwilling to support development of their competent advisors to the appropriate levels.

### **c. Health and Safety Committees (Paragraph 95, CHASTE I Final Report)**

75. All colleges visited had some form of Health and Safety Committee in place but there were varying degrees of recognition and of facilitating Trades Union Safety Representatives' (TUSRs) statutory rights. Many colleges interacted very well with TUSRs and utilised their skills and experience to provide overall enhancement of the college's health and safety management systems. This was mainly due to the fact that TUSRs were included in the monitoring and inspection process of health and safety systems within the college. There were a number of colleges which, although they did not include TUSRs in inspection and monitoring, were satisfied that the college management had an appropriate level of consultation with the Health and Safety Committee on all health and safety issues. However, with some colleges, there appeared to be a culture of confrontation and non-co-operation between the college management and TUSRs. Such confrontation invariably led to the Health and Safety Committee being inefficient and ineffective, contributing to a generally poor health and safety performance by the college.

#### **Position in 2011**

76. All colleges continue to facilitate Health and Safety Committees, mostly now following the models recommended in the relevant statutory instruments and associated guidance. The issue of recognising TUSRs statutory rights seems to be mostly resolved and can be directly related to the access to competent advice and improved effectiveness of the health and safety management systems in most colleges. Many colleges now consider that TUSRs are a valuable asset to complement their health and safety management systems rather than as an adversarial element. Most of the revised systems now specifically incorporate TUSRs as elements of their quality control and audit functions. An additional benefit is the apparent improvement in consultation processes relative to health and safety matters.
77. The colleges which previously demonstrated evidence of confrontational culture with TUSRs have now resolved those issues in the vast majority of cases. The main contributory factors in these cases are undoubtedly due to increased recognition of the need for robust health and safety management systems and acceptance of the valuable contribution available from TUSRs. There is little doubt that all of this has led to increased efficiency and effectiveness in Health and Safety Committees in colleges in Scotland.

## **d. Risk Assessment**

### **(Paragraphs 96 & 97, CHASTE I Final Report)**

78. In the majority of colleges, the risk assessment processes were not at a high level of sophistication and were not well managed, that is, the risk assessments that could be shown to have been carried out were ambiguous with regard to being "suitable and sufficient", the legal standard. Of specific concern was the lack of ownership of risk assessment processes by academic staff in general and Department Heads in particular, in many colleges. This was due to a number of reasons, however, it was complicated by the fact that some TUSRs, particularly from the EIS, had been advising their members not to carry out risk assessments or to sign risk assessment forms as they felt it was not their responsibility. CHASTE has worked with the EIS and other unions to try to resolve this anomaly.
79. As an example of poor risk assessment processes, most colleges were poor performers in relation to risk assessment of display screen equipment and manual handling. This was of concern if considered in conjunction with the Government Strategy (at that time) of "Revitalising Health and Safety" specifically with regard to the targets set to reduce instances of musculoskeletal injuries. Many colleges were exposed to significant civil litigation risk should an incident occur and subsequent investigation establish that a "suitable and sufficient" risk assessment could not be produced.

### **Position in 2011**

80. Overall there has been a marked improvement in the quality and application of general risk assessment processes with most colleges introducing revised systems and revitalising the subject holistically where appropriate. Improved networking in the sector has led to more common sharing of risk assessments formats and procedures between colleges with some very good practices emerging.
81. However there are still many instances where Department Heads do not fully recognise that they should hold ownership of risk assessment processes and outcomes. This does have a detrimental effect on the overall risk profile of those colleges and their subsequent capacity to demonstrate statutory compliance.
82. The problematic issues previously experienced relative to TUSRs involvement with risk assessment processes seem to mostly have been resolved. A combination of the EIS issuing revised risk assessment guidance and the integration and interaction with college health and safety management systems seems to have been instrumental in improving the situation. There are still a small number of colleges who

still experience problems in regard to this subject – however those issues may be related to the individual personalities involved.

83. Whilst it is commendable that there has been improvement in the quality and application of general risk assessments in most colleges the same cannot be said in regard to other subjects which necessitate specific types of risk assessment. For example, in paragraph 79 above, it was identified that most colleges were poor performers in regards to risk assessments for display screen equipment and manual handling and were subsequently exposed to significant risk. The subject of hazardous substances (covered under the COSHH Regulations) is another risk assessment area which is poorly managed by most colleges. These subjects still remain as problematic, with very few colleges having appropriately addressed the specific risk assessment requirements.
84. In mitigation it can be said that those colleges which have introduced improved health and safety management systems have identified the need to resolve these matters and do have the capacity to do so as their systems mature and develop, but time is needed to conclude the process. It should be kept in mind that, in some instances, it can take several years for new health and safety management systems to be fully effective in terms of risk assessment. However this cannot detract from the fact that many colleges have made little or no attempts so far to assess the risks arising from display screen equipment, manual handling and COSHH. Under these circumstances college risk profiles cannot be effectively controlled and the potential for enforcement action and/or civil litigation remains significant. CHASTE would currently assess that only around 25% of colleges in Scotland have tackled the issues related to display screen equipment and manual handling and less than 10% have assessed all COSHH risks.

#### **e. Incident Management**

**(Paragraphs 98, 99 & 100, CHASTE I Final Report)**

85. Most colleges had some form of procedure in place to record and report accidents and incidents. Only a very few produced useful data for some kind of analysis which was used for incident trend monitoring. A number of colleges demonstrated good practice by using such data to develop risk reduction measures and action plans.
86. It was of particular concern that, in a significant number of colleges visited, there was confusion among those responsible for reporting appropriate accidents and incidents to the HSE with regard to which type of accident or incident should be reported. For example, one college had taken students to the Accident and Emergency Department of their local hospital on 10 separate occasions over the previous year and were unaware that it was a statutory requirement to report such events to the HSE.

87. A number of colleges had manual systems to record accident and incident data, which were labour and resource intensive. Those colleges might benefit from the procurement of proprietary health and safety management software packages. CHASTE encouraged the formation of a Health and Safety Community of Practice, part of the terms of reference of which would be to co-ordinate accident and incident statistics from the sector which could be used to help benchmark health and safety performance between colleges. It was also suggested that joint purchasing approaches could also be explored.

### **Position in 2011**

88. All colleges now have systems in place to record and report accidents and incidents. Unfortunately there are still significant variances in the methods used to gather and record that information. Many more colleges now proactively investigate the causes of incidents resulting in injury but these processes mostly focus directly on individual incidents rather than identification of overall trends. A concerted effort is needed in most colleges to make good use of incident data to improve risk management, rather than just produce figures for reporting to health and safety committees.
89. It is apparent that uncertainty still remains amongst some college Health and Safety Practitioners regarding the statutory reporting of some classification of incidents with injury. CHASTE has raised this issue and clarified the position on numerous occasions during regional group meetings, seminars and on our SHARE-Net discussion forum. Detailed study of the following documents would help clarify the position:-
- Statutory Instrument 1995 – 3163 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
  - HSE Guidance L73 – Guide to Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
90. CHASTE has been assisting the college sector by collating incident statistics since 2006 and provides participating colleges with detailed returns indicating individual college's statistics in comparison with the participating elements of the sector in total and on average. Disappointingly this participation is currently only fully embraced by around 53% of the colleges in Scotland. Truly accurate and effective management information would best be accessed by all colleges participating in the exercise and by using a commonly accepted format for incident recording. CHASTE has allocated significant elements of its project time to this subject and has intensively researched the availability and suitability of electronic incident management systems. An appropriate

and customisable model has been identified and details have been passed on to the Health and Safety Community of Practice to progress.

## **f. Fire Safety**

### **(Paragraph 101, CHASTE I Final Report)**

91. The vast majority of colleges visited had suitable physical fire precautions in place such as fire alarm systems, fire doors, protected routes, provision of fire fighting appliances, etc. The few which had obvious deficiencies in this area seemed to be well aware of the problems and were trying to remedy them. However, it was a matter of serious concern that the vast majority of colleges had no access to competent advice on fire safety and had not completed fire risk assessments (which are required by legislation) or appropriate arrangements to manage fire evacuations. Fire safety training and information for staff and students was in many cases superficial and sporadic. Many colleges with staff nominated as "Fire Wardens" did not provide any training in relation to such roles. Very few colleges had Personal Emergency Evacuation Plans (PEEPS) or suitable arrangements to facilitate the evacuation of disabled/non-ambulant persons.

### **Position in 2011**

92. The standard of fire safety management has improved significantly in recent years. All colleges report that they have completed fire risk assessments and have introduced or revised evacuation processes. Across all colleges the provision of appropriate fire safety training and information for staff and students has improved considerably, both in terms of quantity and quality. Shared practices and improved networking has supported the development of procedures to manage disabled evacuation. Specific training for staff with allocated responsibilities (for example fire wardens) may not yet be as comprehensive in some colleges as it needs to be; particularly with regard to the recent amendment to the Fire Safety (Scotland) Regulations 2006, which makes this mandatory.
93. It is important that colleges recognise the statutory requirement to appoint competent advice in regard to fire safety as specified within the Fire (Scotland) Act 2005. Many colleges do not currently have arrangements in place to access such advice and it should be recognised that not all college Health and Safety Practitioners can be deemed as competent in regards to fire safety unless they have specific and related skills, experience and knowledge. Access to competent fire safety advice is a subject which readily lends itself to the opportunities for shared services and is expanded upon within section 4 of this report.

## **g. Statutory Testing and Inspection** (Paragraph 102, CHASTE I Final Report)

94. Most colleges visited appeared to have some form of procedures in place to manage statutory testing and inspection of fixed plant, machinery and equipment. However, some colleges had devolved systems whereby statutory testing, maintenance and inspection of non-fixed plant and equipment was the responsibility of individual Heads of Department (or equivalent). In at least one college this also included the responsibility for gas safety. In such circumstances, college management could seldom demonstrate whether the statutory requirements for testing and inspection were satisfactorily discharged. Although CHASTE supports the philosophy of devolved responsibility to Heads of Department for health and safety management, it was felt that it would be more effective and efficient if such statutory inspection and testing was managed on a college level rather than departmentally.

### **Position in 2011**

95. The colleges where such issues were identified have all reported revision of their procedures and allocated responsibilities with new processes introduced to bring all of these issues under the control of their estates management systems. One college has taken the bold, yet commendable, step of suspending the use of all work equipment which had not undergone test, inspection and maintenance; until compliance had been assured. The issue of responsibility for gas safety in the college mentioned in paragraph 94 has now been resolved. CHASTE is now confident that the majority of issues identified in this subject area are now under the control of the appropriate people.

## **h. Estates Issues** (Paragraphs 103, 104, 105 & 106, CHASTE I Final Report)

96. There were very few colleges which had any direct labour, therefore, the vast majority of maintenance and refurbishment work was carried out by contractors. In general, the control of contractors was poorly managed by the majority of colleges. Although, on enquiry, many colleges would say they had "approved lists" from which they chose appropriate contractors for specific jobs, in reality the selection of contractors was fairly *ad hoc* with little or no enquiry into the health and safety performance of the contractors involved.
97. This was a major issue, not just from a health, safety and risk management perspective but also in terms of quality. Another major issue was that in a significant number of colleges, the Estates/Facilities Manager was also the Health and Safety Practitioner. (Please see "**Competent Advice**" above.)

98. It was extremely important for the Estates Manager and the Health and Safety Practitioner to have a close working relationship, however, in general the conflicting demands of both roles made it very difficult for one person to balance the priorities of each position appropriately.
99. Most colleges had some form of "asbestos register" as required by statute, however, there was a vast difference (as there was in asbestos management in general within the college sector) in the quality of such documentation and how it was used within the college.

### **Position in 2011**

100. Most colleges have significantly improved the management of external contactors. Procedures for evaluating contractor performance and criteria for entry to approved contractor lists have been revised. Shared information between colleges during networking events has enabled the sector to rapidly address the problem and consolidate processes to facilitate more effective management of contractors.
101. The issues identified in paragraphs 33 and 34 have mostly been resolved as stated in paragraph 10 of this report.
102. With regard to the subject of asbestos the position remains much as it was in 2008. Most colleges have some format of asbestos register and there are still significant variances in the quality of these documents. However there has been a marked improvement in how the information is used. The majority of colleges now cross reference the issue of contractor works instructions with the college asbestos register to ensure that contractor or other maintenance work does not result in exposure to asbestos.

### **i. First Aid Provision**

#### **(Paragraph 107, CHASTE I Final Report)**

103. First aid seemed to be well managed in the vast majority of colleges visited and some examples of very good practice were evident. However, it would have been prudent for a number of colleges to revise their risk assessment on which their first aid cover is based to ensure that as well as normal first aid such cover had been appropriately extended to include satellite campuses, out of hours working and student trips.

### **Position in 2011**

104. This subject continues to be well managed overall in colleges in Scotland. Most colleges have now taken account for the need to ensure that sufficient first aid provision is in place to cover all sites and eventualities. There are still some remaining issues regarding first aid provision at satellite campuses and cover out with normal working hours – such as evening classes. It also seems apparent that the foundation for



allocation of first aid cover in many colleges is reliant simply on staff volunteering to be trained. In many case this leads to excessive numbers of staff being categorised as trained first aiders, which may be considerably in excess of individual colleges actual needs. Risk assessment based first aid cover evaluation provides much more accurate details of the first aid cover required in direct proportion to the college risk profile.

## **j. Occupational Health**

**(Paragraphs 108, 109 & 110, CHASTE I Final Report)**

105. All colleges visited provided some level of occupational health service. In the vast majority of colleges, the occupation health (OH) "service" provided by the college was managed by the Human Resources Director with little or no liaison with the College Health and Safety Practitioner. That in itself was not conducive to good OH management within the college sector. The OH provision was, therefore, extremely reactive and dependent on staff approaching HR (or, in a few cases, the Health and Safety Practitioner) with specific problems. These issues were treated reactively without the appropriate investigation into the underlying circumstances which had led to the particular problem.
106. The vast majority of colleges had access to a doctor who is qualified in OH, as part of OH cover; however, a number of colleges visited did not have an OH doctor within their OH cover and staff (or students) were referred to GPs, who have little or no OH experience.
107. The single most important OH issue in the college sector is stress management. Most colleges did have some form of stress policy but, again, there was a vast difference in how those policies were implemented and how effective they were in helping staff cope with the various stresses of their jobs. Some policies had been formulated and implemented after detailed consultation with the workforce; however, some had been unilaterally implemented by college HR departments with little or no consultation with the workforce. The HSE had stated that tackling work related stress in education was a priority. With this in mind, the HSE developed Management Standards for work related stress. These standards covered the 6 most important (as identified by HSE research) potential stressors, i.e. demands, control, change, relationships, role and support. The HSE have run a number of seminars for tertiary education to encourage colleges and universities to use these Management Standards as the core of their stress management policies.

### **Position in 2011**

108. With regard to the issue of provision of occupational health services the position remains much as it was in 2008, as reported in sections 41 and 42. There has been some development related to the involvement of the

health and safety role with OH, with closer involvement with the rehabilitation and return to work aspects of OH issues. The provision of OH services in most colleges continues mostly to be a reactive service. One college did recently introduce a much more proactive role with appointment of a directly employed Occupational Health Adviser. CHASTE considered this appointment to be demonstration of best practice and indeed the model for other colleges to follow. Unfortunately that college was unable to sustain the post and has discontinued the service in that format.

109. In relation to stress, many more colleges now have raised awareness of the need to manage stress and many have revised their original procedures. Several colleges have also introduced stress surveys and have convened working parties, or similar structures, to manage survey outcomes. Improved networking has facilitated sharing of good practices on this subject.

### **k. Training and Information** **(Paragraph 111, CHASTE I Final Report)**

110. The spectrum of provision of health and safety training within the sector varied between extremely poor and very good. Although there were very few colleges which had not implemented some form of health and safety training for staff, the quality and quantity was extremely varied. The most obvious health and safety training need in the sector was for senior management, including Heads of Department, to make them aware of their responsibilities and to enable them to manage health, safety and risk within their areas of control efficiently and effectively. However, there were examples of good practice in this area within the sector in that a number of colleges made it compulsory for Heads of Department and other senior managers to complete a 5-day Institution of Occupational Safety and Health (IOSH) Managing Safely course before becoming a Head of Department. For example, at one college over 80 members of staff had successfully completed this course and at another over 60. Although the resources required to offer this course to Heads of Department may not be available to all colleges, it is critical, if health and safety management is to be improved on a sector wide basis, that some form of health and safety management training is offered to all senior management within the college sector. One possibility could have been that that one of the organisations at that time, i.e. SFEU, ASC or an outside training provider, could have been tasked to put together a standard one or 2-day course which could be offered to all senior management within the sector.

### **Position in 2011**

111. The standard and application of general health and safety training has improved since 2008 with many colleges now using e-learning

programmes as an efficient and cost effective delivery platform. Overall this move has improved the quality of the training and records management. Many colleges have embarked on awareness training programmes for managers and some have specified particular levels of health and safety training as mandatory for the varying levels of management. Where this is most effective it has been as a direct result of proactive training needs analysis to match the training to the roles allocated to managers within the College Health and Safety Policy. Some colleges still find it difficult to find resources and time to deliver meaningful health and safety training, particularly as many managers now have multiple roles. Several more colleges have followed the route of delivering the IOSH Managing Safely course to managers and CHASTE would support this as a demonstration of good practice.

## **I. Student Placements (Paragraph 112, CHASTE I Final Report)**

112. Again, there was a wide spectrum of response to managing this issue within the sector. At one end of the spectrum there was no management of student placements whatsoever, whereas a number of colleges have specific members of staff (usually part time Safety Office staff) who are dedicated to ensuring that students are placed in host organisations with appropriate health and safety standards. A few colleges managed the issue differently in that they trained individual members of staff of academic departments on the appropriate health and safety standards expected in host organisations and the Head of Department ensured that such hosts are vetted and visited but, as already stated, at a considerable number of colleges there was no central control over vetting or inspection and such management as there existed, was completely *ad hoc*.

### **Position in 2011**

113. There has been a general improvement in the approach in most colleges to this subject. The majority of colleges which organise student placements now have procedures in place to manage the health and safety elements of the process. Shared practices via improved networking have again been beneficial in improving the control aspects of vetting and inspection of potential placements. There is considerable duplication of effort in this area, particularly whereby several colleges which are geographic neighbours often utilise the same placement provider, such as Local Authorities and NHS Trusts. In practice this means that one placement provider can be subjected to visits from several different colleges all effectively looking at the same issues. There is obviously a cost implication in this type of duplication of effort, which is not only inefficient and time consuming but is costly. CHASTE has evaluated the potential for shared services in this subject area and has recommended that a common approach and development of a Scottish database for pre-approved placement providers would significantly streamline the pre-

vetting process and significantly reduce costs. CHASTE has now devolved its role in this matter to the Health and Safety Community of Practice.

### **m. Emergency Planning / Business Continuity Management (Paragraph 113, CHASTE I Final Report)**

114. The vast majority of colleges had very little or indeed no emergency or contingency plans in place to react to major incidents other than fire. Such incidents could include major flooding, gas leaks, building collapse (a number of other scenarios which would make at least some, if not all, college buildings uninhabitable) or an outbreak of various infectious diseases. Such colleges would struggle to manage their business continuity under these circumstances. A few colleges do have excellent contingency plans in place, which demonstrate best practice and could be used as examples for the rest of the sector.

#### **Position in 2011**

115. The prospect of a pandemic influenza outbreak during 2009 concentrated focus on the need for robust emergency, contingency and continuity planning in all of the colleges in Scotland. Numerous alliances were developed for mutual aid and sharing of resources and practices during this period. The net effect was that most colleges have now taken significant steps forward in preparedness for contagious disease outbreak and as a beneficial spin off have also developed appropriate and robust processes to cope with major incidents of a physical nature. Again close networking and sharing of good practices has been instrumental in facilitating rapid and commendable development in this area.

## Conclusions

116. It would be prudent for colleges to regularly audit or otherwise evaluate the effectiveness of their health and safety management systems. It should be borne in mind that an ethos of continuous improvement is necessary to ensure that health and safety in colleges matches the pace of development and diversity of college activities. Evaluation of health and safety culture within individual departments is critical to the identification of key performance indicators and overall assessment of the effectiveness of the health and safety management system.
117. Colleges should continue to invest in the professional development of their employees who provide competent advice in health and safety and fire safety terms. Those smaller or remote rural colleges who specifically are unable to fully resource the appropriate levels of competent advice, particularly in terms of fire safety, are advised to consider the formation of strategic alliances with other similar institutions, with a view to sharing such resources.
118. There is an urgent need for all colleges to review the current status of their risk assessment programmes in general and specifically in regard to assessing the risks presented by display screen equipment, manual handling and COSHH.
119. Statistics provided via appropriate analysis of incident data generate key management information and should be utilised to assist in the direction of health and safety resources and actions. The use of a central and common system for the accurate collection and analysis of incident types and trends is the most useful method of producing meaningful data. It would be mutually beneficial for all colleges to subscribe to such a system, currently under development by the Health and Safety Community of Practice.
120. The access to competent advice, in fire safety terms, should be examined in all colleges to ensure that they comply with the relevant statutory requirements. This is a subject where CHASTE considers that cross sector alliances for shared services in fire safety can provide workable solutions in cases where access to this type of professional advice can be restricted due to financial resources.
121. There is a need for colleges to assess and quantify their need for occupation health services. To support such analysis the recent joint contract for OH practitioners in universities and colleges, facilitated by APUC, is a valuable resource to assist colleges in ensuring that they can access the appropriate levels of OH advice and services.
122. Colleges should continue to support the involvement of their health and safety staff in the Health and Safety Community of Practice and

encourage their participation in the various regional cross sector support groups. Sharing of good practice and initiatives should be encouraged.

## Overall Conclusions: Tertiary Education Sector

123. Important general themes run through the conclusions to both the Colleges and the Universities sections of this report. These include:
- the core issue of competence of both general and specialist health and safety practitioners, particularly in colleges, but also in terms of specialist advice in some universities, and its implications for continuing professional development
  - the paramount importance of closing the loop by auditing health and safety performance against a set standard within an individual institution
  - benchmarking performance across the universities and across the colleges with the potential to benchmark across the tertiary education sector in due course
  - the increasing emphasis placed upon health, and so the growing importance of occupational health provision, particularly in the colleges – huge credit is due to APUC for tackling this very challenging area of activity
  - leading on from the occupational health model, the importance of sharing good and best practice, particularly on a geographical basis, across the colleges and universities
  - the need to continue to evaluate the potential to go further than shared practice and consider shared services, where appropriate and viable – fire safety may lend itself to this type of approach
  - the key roles played by the (relatively new) Colleges' Health and Safety Community of Practice and the (longer established) Scottish Universities Safety Advisers Group
  - the requirement to address the interface between occupational safety and health and emergency planning/business continuity management, and to ensure effective collaborative working with colleagues in this and related parallel disciplines.
124. Reference to the strategic objectives of CHASTE II (page 2) - cross-sector, for universities, and for colleges - together with the detailed content of the completed Operational Plan for the Project (Appendix One), lead us to conclude that the CHASTE Project can demonstrate that it has successfully addressed each objective noted at the start of this phase of the CHASTE Project.

125. It would be appropriate to note that the Scottish Funding Council should be commended for initiating and supporting this first ever examination of occupational safety and health across the whole tertiary education sector in Scotland, and the Project Team would like to record our gratitude, not only for the Council's financial support, but also for their unflagging interest in and commitment to CHASTE since 2004. As the CHASTE initiative comes to an end, the SFC should consider mechanisms for maintaining contact with and support for the colleges' Health and Safety Community of Practice (HSCoP) and the universities' Scottish Universities Safety Advisers Group (SUSAG).



## **Major Sustainable Legacies**

126. In this section the CHASTE Project Team reports on several important communication and coordination issues which have been beneficial to Tertiary Education in Scotland and are considered to be significant and sustainable legacies after the conclusion of the CHASTE Project.

### **SHARE-NET (Safety and Health Advice Resource for Education Network)**

127. In 2004 CHASTE created a virtual discussion forum (SHARE-NET) for use by staff engaged in or interested in health and safety activities within colleges in Scotland. The principle objective of the forum is for people to benefit and learn from shared experience and expertise.
128. Access to the forum is open to health and safety practitioners, senior managers and others in Scottish colleges, and is facilitated by the CHASTE Project Team. Membership is closely moderated to ensure that access is restricted to those from the college sector. Enforcing authorities etc. are not given access.
129. A parallel discussion forum (HAS-NET Scotland) for University Health and Safety Practitioners, was already well established before the advent of the CHASTE Project.
130. In recent years the SHARE-NET service has become the primary method of collective communication, on health and safety related subjects, in colleges in Scotland. The forum has facilitated the sharing of good practices and provided solutions to numerous challenges faced by Health and Safety Practitioners in colleges. The service is also used as a platform for the rapid dissemination of important health and safety information across the sector.
131. SHARE-NET will continue after the conclusion of CHASTE and operational ownership will be taken over by the Colleges' Health and Safety Community of Practice. There is potential for a combined university/college practitioners e-forum to be established, in due course.

### **Northern Biosafety Training Centre**

132. One of the significant and sustainable legacies of the CHASTE Project is focused around the issues relating to health and safety training, to a recognised standard, in biological and biomedical environments in universities and other research institutions.
133. The Northern Biosafety Training Centre (NBTC) has been formed as a training services provider delivering accredited training courses to a specialist and specific marketplace, initially within the university sector.

Its founders are a group of well know and experienced professionals working within Tertiary Education. NBTC has been initially developed as a project to formalise the training services offered.

134. The Institute of Safety in Technology and Research (ISTR) have accredited the course materials used by the NBTC. Once attendees have completed all of the units provided in this 5 day course (and passed the assessment), they can become registered by ISTR as Level 1 Practitioners if they have two years' relevant experience.
135. To date twenty five candidates currently working in or supporting biological environments have attended and passed the course.
136. NBTC is currently facilitated by the University of Edinburgh, with administration and support coordinated by the CHASTE Project.
137. At the conclusion of the CHASTE Project the NBTC will change title to the Biosafety Training Institute and will be facilitated and administered fully by the University of Edinburgh.

## **Health and Safety Community of Practice**

138. At the start of the CHASTE Project in 2004 there were a number of the professional groups in the college sector, for example HR, Finance, Assistant Principals etc, consolidated as "Communities of Practice" groups facilitated by Scotland's Colleges. An obvious exception was the absence of any coherent group to encompass the Health and Safety Practitioners in colleges. CHASTE was able to evaluate that there was a demand for, and potential added value of, a similar group for College Health and Safety Practitioners.
139. At that time (CHASTE I: 2004–2007) through discussions with representatives of Scotland's Colleges (both SFEU and ASC) and colleagues from individual colleges, it seemed that for a number of reasons, including the prevailing economic climate, it was unlikely that college management would have the appetite to finance a formal Community of Practice group for Health and Safety Practitioners.
140. Nevertheless, this did not lessen the need for and worth of a Health and Safety Community of Practice.
141. Therefore, to help create such a group, CHASTE revitalised the process in 2008, reaching agreement with Scotland's Colleges to facilitate this new Community of Practice (CoP). In the first instance a small steering group was convened to take forward the operational logistics of the new CoP, made up of Health Safety Practitioners from colleges on a regional basis and representation from the HSE and from the Scottish Centre for Healthy

Working Lives. The CHASTE Project Coordinators have interacted with and supported the steering group and the CoP since its formation.

142. The Health and Safety Community of Practice is now well established with set aims and objectives as detailed below:

### **Aims**

- Stimulate the sharing of good health and safety practice;
- Formulate examples of best practice health and safety procedures;
- Consult and engage with strategic partners;
- Support strong health and safety leadership;
- Encourage stakeholders to take ownership of sensible and proportionate risk management.

### **Objectives**

- Manage the communication system for health and safety support services within the Scottish college sector
  - Facilitate centralised collation of incident/accident data for statistical analysis
  - Organise a programme of events
  - Ensure a smooth transition from CHASTE to the CoP Steering Group
143. Most of the facilities, relative to colleges, currently operated by CHASTE will be devolved to the Health and Safety Community of Practice as the conclusion of the Project approaches.

## **Cross Sector Regional Groups**

144. One of CHASTE II's strategic objectives was to improve cross sector relationships and communication between colleges and universities, also to encourage sharing of good practice and experience etc. CHASTE envisaged that the best way to achieve this is to help facilitate cross sector support groups on a regional basis. There are now well established regional groups in Tayside, Clydeside and the South East of Scotland around the Forth Valley area. All colleges and universities in Scotland have been invited to join one or more of these regional groups. The UHI Partnership Institutions all have representation on an UHI Health and Safety Committee which fulfils the need as a cross sector group covering the Highlands and Islands.
145. The cross sector regional groups now have open lines of communication with the Health and Safety Community of Practice and with the Scottish Universities Safety Advisers Group (SUSAG). Overall the quality of cross sector communication and sharing of experience and good practices have been significantly enhanced by the formation of these groups.

## **Enforcement Backdrop**

146. The CHASTE Project's ongoing discussions with the Health and Safety Executive in Scotland, and the HMIE Inspectorate, has helped create a backdrop to health and safety activities in tertiary education in Scotland, in which each of these organisations has reviewed its own input, and clarified its own role for the future.
147. Discussions with HSE, up to Scottish Director level, have ensured that, despite significant financial challenges to and re-structuring of that organisation, HSE in Scotland intends to maintain its, very welcome and valuable, contact with key stakeholder groups (mainly the Colleges' Community of Practice and SUSAG) within tertiary education, at senior policy officer level.
148. Ongoing liaison with HMIE has helped to clarify that organisation's perception of its own role vis a vis enforcement of health and safety legislation, and has opened up a channel for ongoing liaison with HSE regarding enforcement responsibilities.

## **Other Potential Sustainable Legacies**

149. With regard to student placements, CHASTE has recommended that a common approach, relative to placement pre-vetting, in colleges and the creation of a national database of approved placement providers would not only deliver benefits in terms of efficiency but could also result in significant resource savings. Scotland's Colleges has now convened a working group to examine the potential benefits of a coordinated approach to these issues.
150. CHASTE has consistently recommended that colleges would significantly benefit from a standardised methodology of gathering and recording incident data and a centralised analysis system. The management information generated by such a system could be used effectively to direct and focus the appropriate allocation of resources to assist in the control of risks and enhance the overall performance of health and safety management in tertiary education in Scotland. CHASTE has allocated significant elements of its project time to this subject and has intensively researched the availability and suitability of electronic incident management systems to facilitate accurate data collation. An appropriate and customisable system has been identified and development of a workable model has now been passed to the Health and Safety Community of Practice.



## CHASTE II Operational Plan May 2008 – April 2011



**Conclusion for CHASTE II Final report - April 2011**

**Colour Coding:**

**GREEN = Objective Complete**

**YELLOW = Objective started – work in progress**

**RED = Objective not yet started – no work in progress**

#	Activity	Progress	Objective
1	Relocate CHASTE Project office from Jordanhill to Charles Stewart House, UoE	Activity Complete	N/A
2	Consolidate Project support infrastructure	Activity Complete	N/A
3	Recruit & appoint Project Administrator	Activity Complete	N/A
4	Disseminate Project launch briefing to Universities and Colleges	Activity Complete	1A
5	Initiate dialogue with key stakeholders – SFC / Universities Scotland / Scotland's Colleges / Colleges Principals Forum / STUC / Universities Secretaries Group / HMIE / FESH / Steering Group / HR Community of Practice etc	Activity Complete	1C / 1D / 2A / 2C / 2D / 3A / 3H

#	Activity	Progress	Objective
6	Create strategic alliance with PHASS group to facilitate collaboration with the ethos of the Scottish Action Plan for Health and Safety throughout Universities and Colleges in Scotland	Scottish Action Plan is now concluded and no longer in force. This activity is now amended to reflect ongoing alliance with HSE at Snr Policy Officer Level and partnership with the Scottish Government Initiative – Scotland’s Healthy Working Lives. <b>Activity Complete.</b>	1A
7	Formulate cross- sector regional support groups	4 x Cross-Sector Regional Support Groups now in place & meeting regularly. <b>Activity Complete.</b>	1B / 1D / 1E
8	Convene Steering Group	<b>Activity Complete.</b>	N/A
9	Facilitate joint Seminar for University & College H&S Professionals – formation of alliances / partnerships / application of Scottish Action Plan for Health & Safety	Now integrated with # 7 and will now be delivered on a regional basis as presentations / discussion items at meetings – intention being that regional groups will interact with national initiatives post CHASTE. <b>Activity Complete.</b>	1D / 2A / 2C / 2D / 3A / 3D / 3E /
10	Facilitate Cross-Sector Seminar for Universities and Colleges – fire safety – managing disabled evacuations	<b>Activity Complete.</b>	1D / 2D
11	Facilitate College seminar – accident / incident recording , reporting / benchmarking	Consultations with colleges conclude that sector preference is for discussions at regional groups rather than via seminar. <b>Activity Complete.</b>	3A
12	Provide logistics support to STUC in delivery of seminar for Safety Reps / Health & Safety Committees	STUC Seminar held on 27 May. <b>Activity Complete.</b>	1B
13	Facilitate Colleges training course (2 days duration) – student work placement organisers	This objective should be re-evaluated as only 1 college has responded with a positive desire for this training. (low response may be related to cost). <b>Activity Complete.</b>	4C
14	Facilitate seminar for College Senior Managers – roles and responsibilities	Now changed - CHASTE now offers to deliver this element as a customised presentation to individual college senior management teams. Communication in progress on individual institution basis. See page 4. <b>Activity Complete.</b>	3C
15	Develop and disseminate WebCT based H&S Training Programme for Senior Managers in Universities and Colleges	The colleges’ element of this activity now integrated with #14. Meeting with University Secretaries Group has concluded that they have no desire for further training programmes or guidance. <b>Activity Complete.</b>	1B / 2B / 3C / 3D
16	Develop and implement Web based College benchmarking programme for incidents and occupational health statistics	Final evaluation of software programmes now complete and established as cost prohibitive. A shared incident data spreadsheet has now been developed and has been issued to all colleges. CHASTE will continue to coordinate data gathering and benchmarking meantime – this action will be re-allocated to the new H&S Community of Practice in due course. <b>Activity Complete.</b>	3B / 3C

#	Activity	Progress	Objective
17	Initiate interface between HR Community of Practice & H&S Professionals relative to consolidation of occ health services	Meeting with Chair of HR CoP to agree mutual cooperation with H&S CoP – agreement reached. CHASTE continued support to APUC in development of Occ Health Tender Specification. APUC Tender Spec now issued. <b>Activity Complete.</b>	3C / 3G
18	Open dialogue with HMIE – support development of Training Programme	Meeting held with HMIE Ass Principal Inspector. CHASTE team delivered briefing presentation to HMIE College Inspectors Team. <b>Activity Complete.</b>	3 H
19	Initiate & develop a Health & Safety Community of Practice in Colleges	Health & Safety Community of Practice now convened and has met since beginning of May. <b>Activity Complete.</b>	3A
20	Facilitate dialogue between key stakeholders in Universities – Estates / HR / Finance to develop more effective internal and external alliances	Attend meetings of SUSAG / University Estates Safety Advisers Group / Universities Fire Safety Advisers Group /Clydeside & East of Scotland Cross Sector Support Groups – encouraging interaction with other relevant stakeholders. Liaison links now transferred to SUSAG & H&S CoP Northern Biosafety Training Centre now fully functional. <b>Activity Complete.</b>	2D
21	Initiate annual customer satisfaction surveys to evaluate delivery of CHASTE planned objectives	Complete - on-line customer satisfaction survey now facilitated on CHASTE website. <b>Activity Complete.</b>	N/A
22	Develop and deliver CHASTE News Letter – every 6 months	New page with current (and archived) news with an integrated section on CHASTE Website now live & functional. <b>Activity Complete.</b>	N/A
23	Prepare papers for Steering Group Meetings	Papers for final SG meeting on 17 March now prepared. <b>Activity Complete.</b>	N/A
24	Facilitate 1 x cross sector seminar in each of years 2 & 3	2 x Cross sector seminar completed for year 2 (Pandemic Flu in Sept 09 & Occupational Health in March 2010) Cross sector seminar arranged for 1 Dec – postponed due to weather conditions – held on 9 Feb 2011 Final cross sector seminar on 26 April 2011 now arranged. <b>Activity Complete.</b>	1B
25	Facilitate 1 x University Seminar in each of years 2 & 3	#25 now merged with #24 – all seminars will now be cross-sector due to sector demand. <b>Activity Complete.</b>	2C
26	Facilitate 1 x College seminar in each of years 2 & 3	#26 now merged with #24 – all seminars will now be cross-sector due to sector demand. <b>Activity Complete.</b>	3D
27	Provide advice and support to College sector in development and application of appropriate occupational health and safety management standards	Agreement has now been reached with the H&S Community of Practice to develop and disseminate appropriate standards and guidance – CHASTE will provide ongoing support to the H&S CoP in that regard. <b>Activity Complete.</b>	3E / 3F
28	Re-development of CHASTE Website	<b>Activity Complete.</b>	N/A

Agreed Activities for Final Year of Project		
#	Activity	Progress
29	<p>Prepare communication &amp; disseminate to each university &amp; college requesting information on action taken regarding recommendations made in original support visit report.</p> <p>Communication to include offer to :-            Evaluate current status of institution's H&amp;S management system            Assist with risk management / prioritisation of resources / provide guidance &amp; advice to senior managers (including customised presentations and training) - Collate &amp; action responses</p>	<p>Presentation given to College Principals' Convention - 10 May            Presentation given to Universities Secretaries Group - 14 May            E-mail communication circulated to College Principals via Scotland's Colleges            Information posted on CHASTE Website            Letter sent out to all College Principals and University Secretaries, enclosing copy of original support visit report            Information disseminated to regional cross sector groups &amp; College H&amp;S Community of Practice</p> <p>Customised presentations given to 2 x college Snr Management Teams.            Customised presentation given to UHI H&amp;S Committee AGM.            Re-support visits to 4 colleges and 2 universities now completed.</p> <p><b>Activity Complete</b></p>
30	Provide services offered in #29	<p>Final 2 activities – presentations to senior management teams for 1 x college and 1 x university arranged for 8 March and 22 March respectively</p> <p><b>Activity Complete</b></p>
31	Facilitate 2 x cross sector seminar in year 3 – as per #24	<p>Cross sector seminar arranged for 1 Dec – postponed due to weather conditions – event held 9 Feb 2011 - planning for final cross sector seminar on 26 April 2011 now complete.</p> <p><b>Activity Complete</b></p>
32	Prepare end of Project report for SFC	<b>Activity Complete</b>



### Seminars

#### Introduction

The CHASTE Project team facilitated a number of cross-sector seminars over the 2008 – 2011 period (in line with the Project's Strategic Objectives), addressing demand from the sector and situations at that present time (eg. Pandemic Flu outbreak).

All of the seminars (facilitated by CHASTE) were run cost effectively, purely to cover costs, and in central Scotland, to enable colleagues to travel to the venues easily.

#### Fire Safety

**2 October 2008**

#### **Doubletree by Hilton Dunblane Hydro**

CHASTE (facilitated by SFEU) ran a conference on various aspects of fire safety. The intention behind the seminar was to discuss how the introduction of the recently published fire legislation in Scotland would affect fire safety in colleges and universities with particular reference to Personal Emergency Evacuation Plans (PEEPS)s, evacuation in general, competence and fire risk assessment.

CHASTE invited regional Fire and Rescue Services to attend the seminar and to join in the debate regarding consistency of approach between different Fire & Rescue Services in Scotland.

Kenneth McKim (Area Manager for Community Safety, Residential and Education, Lothian and Borders Fire and Rescue Service, and Scottish Government's Fire Safety Advice Unit) presented "Update on implementation of the Fire (Scotland) Act", informing delegates on the implementation and associated challenges of the Fire (Safety) Act – Part 3 Fire Safety.

Pat Hoy, Deputy Director of Estates, University of Strathclyde, gave "The University's Perspective," sharing the challenges and opportunities for university Estate's strategy presented by the Scottish Government's Fire Safety legislation.

Les Allan (Queen Margaret University and CHASTE Project Coordinator) presented the challenges and opportunities of managing disabled evacuation in tandem with engineered fire solutions in Scotland's newest university campus.

Billy Grace and Andy Cathro (Dundee College) presented "The College Perspective", discussing various issues involved in introducing a new, fit for purpose fire safety management system in Dundee College.

Alan Doyle (Group Commander, Strathclyde Fire and Rescue Service, Hamilton Headquarters) gave a general fire safety presentation, targeted at colleges and universities.

The seminar was attended by 57 delegates from 28 colleges, 12 universities, 3 Fire and Rescue services and 1 associated body. Feedback was collated by SFEU who reported that 100% of delegates indicated that the seminar met its aims.

**HSE Disease Reduction Programme**  
**4 December 2008 (Inverness)**  
**5 December 2008 (Stirling)**

CHASTE, working in partnership with the HSE Disease Reduction Programme Unit, ran two seminars to help promote awareness of the HSE campaigns regarding the dangers presented by asbestos, occupational dermatitis and respiratory diseases.

The principal objective of the seminar was to provide relevant information to staff in colleges who are involved with vocational training, who can, in turn, disseminate the information to students in industries such as hairdressing, catering, motor vehicles and building trades.

The seminars were attended by 52 delegates, representing 25 colleges, Scotland's Colleges, HSE, a local council and three other associated bodies. Feedback was verbal following the DRP seminars, and was positive.

**Business Continuity and Crisis Management – Unexpected but not Unforeseeable**  
**3 April 2009**  
**Scotland's Colleges**

CHASTE facilitated a seminar on contingency and emergency planning to discuss the scope of business continuity management and in particular, how this applies to Tertiary Education.

The seminar scoped the issues involved, discussed where colleges and universities stood at that time, where they should be going, and the most effective and efficient method of getting there.

The introduction to the seminar included a previously-recorded video clip from Jim Mather, Minister for Enterprise, Energy and Tourism.

Hugh Leighton (Consultant, Aon Global Risk Consulting) presented "BCM Standardisation and its Implications for the Education sector."

Dr Steve Hall (Director of Human Resources, Stevenson College, Edinburgh) spoke about "Business Continuity and Contingency Arrangements in the College

sector", and Dr Gerry Webber (University Secretary, Edinburgh Napier University) gave "The University Perspective."

Lorraine Loy (Group Risk Manager, Heriot-Watt University, Edinburgh) presented and ran a workshop on "Managing the Unexpected and Unforeseen".

57 delegates from 6 universities and 25 colleges attended the seminar, with 95% rating the day as "good" to "excellent". Representatives from Scotland's Colleges and Universities Scotland also attended.

### **Pandemic Flu 8 September 2009 Scotland's Colleges**

The H1N1 Flu Pandemic (at the time of the seminar) highlighted to many in both the college and university sectors that it was imperative that both sectors were fully prepared to manage the challenges that such a Pandemic raises for Tertiary Education.

The delegates enjoyed morning presentations and a practical workshop/table top exercise in the afternoon, allowing them to positively contribute to their institution's organisation and implementation of a pandemic flu management system

Dr Bob Dalziel (Virologist, University of Edinburgh Veterinary School) presented the "Biology of the Flu virus" explaining the how viruses evolved, how they were spread and preventative methods for dealing with them.

Dr Andrew Riley (Senior Medical Officer, The Scottish Government) updated delegates on the current situation and outlined the impacts upon/expectations of the tertiary education sector.

Lorraine Loy (Group Risk Manager, Heriot-Watt University, Edinburgh) provided delegates with a "Pandemic Flu Tool Kit for Universities and Colleges" and spoke about the experiences of Heriot-Watt University, and the arrangements they had in place to deal with such issues.

Lawrence Dickson (Training and Audit Co-ordinator, University of Edinburgh) enlightened delegates as to the arrangements at the University of Edinburgh and, together with Lorraine Loy, ran the afternoon session, allowing delegates to discuss their institution's arrangements, and the possibilities of improving their policies to meet the needs of the institution.

43 delegates attended the seminar; 7 universities, 21 colleges, and representatives of Universities Scotland, Scotland's Colleges and the Scottish Government. 100% of respondents to the feedback survey rated the seminar "good" to "excellent".

**Occupational Health**  
**19 March 2010**  
**Doubletree by Hilton Dunblane Hydro**

CHASTE facilitated a seminar on the challenges for Health and Safety and Human Resources professionals, in colleges and universities, in managing occupational health (OH) provision. Due to a number of factors, including APUC's work in organising standard contracts for OH provision, the proposed new "Fit Note" legislation, and the HSE's recent interest (HSE have recently issued enforcement notices regarding poor occupational health standards in a number of colleges) in OH in the college and university sectors, it was deemed that such a seminar would be useful to all concerned.

Janet Craig (Occupational Health Manager, University of Edinburgh) spoke on the in-house service that University of Edinburgh provide, how it evolved and challenges to delivering the service.

A joint presentation was given by Beth Dickson (Assistant Principal, Adam Smith College and Chair of the HR Community of Practice) and Bob Grey (Health, Safety and Environment Manager, Adam Smith College) on the issues and challenges of managing an OH service in the college sector.

Anne Martin (Senior Procurement Manager, APUC) explained APUC'S OH initiative and progress in formulating a tender document.

Dr Munna Roy (Medical Director, Integral Occupational Health) presented on how best, to identify organisational OH needs, to select an OH provider and to work with the provider to ensure that the organisation gets the provision it needs.

Roddy Duncan (Scottish Government Health Department) explained the implications for OH and HR on the introduction of the proposed "Fit Note". He also looked at the conclusions of the Scottish Government's review of its Healthy Working Lives strategy, what this means for employees, employers, public services and the economy.

This seminar attracted 61 delegates, representing 13 universities and 27 colleges, and was attended by Scotland's Colleges, the Scottish Government and UHI Millennium Institute.

**Influencing and Communication Skills**  
**9 February 2011**  
**Doubletree by Hilton Dunblane Hydro**

The technical skills for Health and Safety Practitioners are obviously important but arguably as important are the communication skills and techniques required to influence and change the behaviour of colleagues and senior management to allow appropriate resources to be allocated.

Dr Ian Scragg (Head of Safety Services, University of Dundee) outlined the challenges of communicating health and safety information to senior management.

Dr Peter West (formerly Secretary to the Court, University of Strathclyde, currently Chief Operating Officer, Edinburgh College of Art) advised "What information Senior Management expect from Health and Safety professionals and how this should be presented for maximum effect."

Ronny Lardner (Director & Chartered Occupational Psychologist, The Keil Centre Ltd) presented delegates with proactive and reactive methods of influencing health and safety behaviour in Tertiary Education. Ronny also ran the afternoon workshop session – "Getting your expertise used: Internal consultancy skills for H&S professionals".

Lori Weber (Communication Skills consultant, Perfect Pitch Coaching Ltd) gave advice on how to influence others through understanding the theory of communication and how to communicate effectively.

The seminar was attended by 39 attendees, representing 9 universities and 19 colleges, all of whom rated the day as "good" to "excellent".

**Concluding CHASTE seminar – Shaping the Future**  
**26 April 2011**  
**Doubletree by Hilton Dunblane Hydro**

In order to summarise what the CHASTE Project has achieved, how the Project Team feels the Tertiary Education sector currently stands in terms of health and safety, and to look forward to the future post-CHASTE, there will be a final seminar to which everyone (health and safety professionals, senior management, and all other relevant colleagues) have been invited.

It is hoped the seminar will help indicate the shape of the future of health and safety management in Tertiary Education in Scotland.

Alastair Reid (Project Leader) will introduce the seminar, with Les Allan and Donnie Blue (Project Coordinators) presenting a review of the CHASTE Project Final Report.

Nigel Paul (Director of Corporate Services, University of Edinburgh, and UoE CHASTE Project Sponsor) will speak about the CHASTE Project from the point of view of the Project “sponsor”.

Ian Tasker (Assistant Secretary, STUC) and David Newall (University Secretary, University of Glasgow) will debate issues surrounding the importance of legislation in influencing the effectiveness of health and safety management in colleges and universities.

Linda McTavish (Principal, Anniesland College and ex-Chair of Principals’ Forum) will speak about challenges faced, and how health and safety will be viewed from a College Principal's perspective.

Paul Stollard (HSE Director, Scotland) will provide an update on the HSE Scotland Business Plan and the key challenges relevant to the tertiary education sector.

Martin Fairbairn (Senior Director and Secretary to the Council, Scottish Funding Council, and SFC CHASTE Project Sponsor) will conclude by speaking about the CHASTE Project from the viewpoint of the Scottish Funding Council.

## **Conclusion**

The feedback from the seminars has indicated that they were well received. As well as addressing current issues within the sector at the time, seminars provided colleagues with excellent networking opportunities.

The papers, presentations and feedback analysis (as well as other related information) from each seminar were published on the CHASTE website directly after the events, for future reference.

### Work Streams

In this appendix the CHASTE Project Team provides further detail on the major work stream elements of their activities during the CHASTE II Project.

#### CHASTE Website

A significant element of project time was necessary to evolve the existing basic CHASTE website onto a new platform to facilitate its revised functionality to operate as a primary conduit for information on the Project's activities and used as an information portal to disseminate key strategies, news and initiatives to Tertiary Education in Scotland. Most of the information and resources contained within the website will be devolved to the Health and Safety CoP and to SUSAG. The website will remain live (but will not be added to) for at least 12 months after the conclusion of the CHASTE Project.

#### CHASTE Support to Colleges and Universities

In June 2010 CHASTE wrote to all College Principals and University Secretaries highlighting that the main objectives for the final year of the Project included continuing to help make a genuine contribution to enhancing practice in terms of health and safety management across the sector, and leaving the SFC with a realistic picture of this aspect of the sector's activities, as the Project draws to a close.

To assist with that programme, and to support the Project with the preparation of an accurate final report for SFC, it was requested that colleges and universities provide CHASTE with an update on progress of the recommendations which were contained within their own individual confidential reports, provided during CHASTE I.

This information was also used to help CHASTE to target resources for the remaining year of the Project, by offering additional support to institutions who had not yet managed to action some or all of the recommendations made, or who felt that their own systems had regressed since the original Support Visit, and would benefit from some assistance.

CHASTE also offered additional support, to all colleges and universities, consisting of any or all of the following:-

- evaluation of the current status of their health and safety management system
- assistance with risk management / prioritisation of resources
- presentations to senior managers

Many institutions responded both to the request for updated information and to the offer of further assistance from the Project Team. The updated information was consolidated to assist with the preparation of this report and the Project Team have facilitated and now concluded a programme of additional support to colleges and universities.

### **Direct Support Activities**

During CHASTE II the Project Team had carried out direct support visits on specific health and safety related subjects to colleges (37 visits) and to universities (18 visits). The CHASTE Team have also been proactive members of the Scottish Universities Safety Advisers Group, Scottish Universities Fire Safety Advisers Group, Scottish Universities Estates Safety Advisers Group, Universities Safety and Health Association Planning Group, Further Education Safety and Health Forum.

The CHASTE Team has also provided direct support to the activities of the Health and Safety Community of Practice Steering Group, The Northern Biosafety Training Centre, College Work Placement Group, and Scottish Centre for Healthy Working Lives. CHASTE has also had regular liaison meetings, on behalf of Tertiary Education, with senior policy advisors from the Public Services Sector of the HSE.

In addition to the CHASTE seminar programme the CHASTE Team have also delivered a variety of presentations to the following groups:-

- University Secretaries Group
- College Principals Forum
- Health and Safety Community of Practice
- UHI Health and Safety Annual Conference (x 2)
- Her Majesty's Inspectorate of Education (College Inspectors Group)
- College Secretaries to Boards Community of Practice
- College HR Community of Practice
- EIS Safety Representatives Training Programme

Direct support presentations were also delivered to senior management teams or boards of management in 5 colleges and 1 university.

CHASTE has also carried out additional full support visits (full assessment of health and safety management systems) to 1 university and 4 colleges during the course of CHASTE II, at the invitation of individual institutions, thus completing the comprehensive programme carried out during CHASTE I.

### **Health and Safety Executive (HSE)**

From the inception of the CHASTE initiative in December 2004, it was recognised that for the project to be successful the HSE would need to be considered as a major partner of the project. To this end, CHASTE has actively promoted a



positive working relationship with the HSE, at various levels including discussion with front line inspectors in Edinburgh, Glasgow and Inverness, discussion and facilitating two seminars for the college sector with the HSE Disease Reduction Unit, discussion with the HSE Scottish Director, and scheduled liaison meetings with the HSE's Policy section in Scotland. CHASTE has also helped facilitate the inclusion of a representative from the HSE's Policy section in the college sector's HSCoP. Through its involvement with FESH and Scotland's Colleges, CHASTE also helped the HSE carry out a health and safety management survey of the Scottish college sector and analysed the results (please see following section). Along with other major stakeholders, CHASTE was invited to help the HSE on a UK national basis to shape and define its strategy for coming years. It is hoped that the strong working relationship that CHASTE promoted between the HSE and the university and college sectors will be sustained through future involvement with the HSCoP and SUSAG.

### **HSE Communication to Colleges**

In April 2010 the HSE sent a letter, via Scotland's Colleges, to all Scottish College Principals asking them to comment on what action they are taking to deliver on the relevant elements of the HSE's new strategy "The Health and Safety of GB: be part of the solution".

CHASTE contributed to the content of the HSE letter and agreed with the HSE and Scotland's Colleges to collate and evaluate the responses from individual colleges and to provide a sector analysis. This analysis was discussed with Scotland's Colleges and was forwarded to the HSE.

The HSE response is primarily focused around them continuing to work in support of the College Health and Safety Community of Practice on relevant issues for the sector.

It should also be understood that the analysis was based upon the 36 individual responses received from the sector and does not necessarily represent CHASTE's understanding of the status of health and safety management within the sector.

### **Further Education Safety and Health (Forum) (FESH)**

Since the FESH forum inception, by the HSE in 2005 to fill the gap left by the demise of the Higher and Further Education Advisory Committee (HIFEAC) to the HSE, CHASTE has been an active member. This has included lobbying to ensure Scotland had appropriate representation on the group ie. the inclusion of Scotland's Colleges and the Educational Institute of Scotland (EIS). A CHASTE Project Coordinator has attended all but one of FESH's meetings and has been involved in defining and implementing its workplan. This included helping to facilitate the FESH/HSE survey of the state of health and safety management in colleges in Scotland and analysing the survey's findings for Scotland's Colleges and the HSE. CHASTE has always viewed its membership of FESH very much as a "stewardship" role for health and safety professionals from the college sector in

Scotland. With the formation of the Steering Group of the Health and Safety Community of Practice (HSCoP), CHASTE fulfilled its stewardship in November 2010 by demitting membership and passing it onto a HSCoP member.

### **Her Majesty's Inspectorate of Education (HMIE)**

One of CHASTE's strategic objectives was to open dialogue with HMIE and to provide support if necessary and to offer development of an appropriate training programme for HMIE Inspectors.

CHASTE also analysed a selection of HMIE college reports and advised the Scottish Funding Council regarding issues which arose as a result of that analysis. The CHASTE Team were subsequently invited to deliver a presentation to HMIE College Inspectors, regarding the current status of health and safety management systems in colleges in Scotland.

CHASTE has recommended to SFC that if HMIE continues to examine health and safety during college inspections that it should be done to a consistent standard by Inspectors trained to a specific level of competence.

### **Accident and Incident Data**

Another major stream of CHASTE activity has been related to the collation of incident statistics for colleges and universities. CHASTE has collated this data for both sectors since 2006. The university system is robust and sustainable and will be continued by the SUSAG group following the conclusion of CHASTE. For the colleges it should be noted that they all use differing methods of recording incidents, which in turn means that truly effective and meaningful management information is difficult to achieve. CHASTE has allocated significant elements of its project time to this subject and has intensively researched the availability and suitability of electronic incident management systems to facilitate accurate data collation. An appropriate and customisable model has been identified and progress on this subject has now been passed to the Health and Safety Community of Practice.

### **Occupational Health Provision (APUC)**

In early 2009, Advanced Procurement for Universities and Colleges (APUC) initiated a programme to produce a joint contract (for colleges and universities) for various aspects of occupational health provision. It was recognised by APUC at the beginning of the project that such were the varying needs of colleges and universities with regard to the occupational health provision they required, that defining, scoping a tender document and eventually awarding such a contract was not without its challenges. From the outset CHASTE saw the benefit to both sectors of such a contract and formed a strategic alliance with APUC to help bring the awarding of such a contract to a conclusion. As well as a CHASTE Project Coordinator being a member of APUC's User Intelligence Group (UIG) for the initiative CHASTE also facilitated meetings between APUC staff and

representatives from various colleges and universities to help scope the tender. The contracts were awarded in early 2011. The APUC team involved should be commended for their tenacity and professionalism in bringing the initiative to fruition.

### **Scottish Centre for Healthy Working Lives (SCHWL)**

SHWL, in conjunction with the HSE, produced in 2009 a DVD toolkit entitled "Health Risks at Work: Do you know yours?". The toolkit was aimed at small and medium sized organisations, the idea being that the information contained in the DVD (on hazardous substances, dermatitis, manual handling etc) could be cascaded to contractors used by the organisation. However, when the CHASTE team saw the DVD they realised that although not designed as such it could be a very useful induction tool for vocational students in the college sector. CHASTE has worked with SHWL, health and safety professionals and individual, academic leaders in the college sector to help facilitate the DVD's use within the sector. The partnership between CHASTE, SHWL and health and safety professionals in the college sector has led to a representative of SHWL being invited to sit on the HSCoP.

### **Scottish Trades Union Congress (STUC)**

Again, it was envisaged from its inception that CHASTE, to be effective, should consider the STUC and Trade Unions within both the college and university sectors as major partners of the project. Since its constitution in early 2005, the CHASTE Steering Group has had an Assistant General Secretary of the STUC as an active member. CHASTE has worked with the STUC to help facilitate various seminars, training sessions and briefings. As well as the STUC, CHASTE has also worked with individual Unions, in particular the Educational Institute of Scotland (EIS) and University and College Union (UCU) to not only help improve health and safety management in the college and university sectors in general but also to help improve training of Trade Union Safety Reps (TUSR) in particular. As part of the original support visits to tertiary education institutions, the CHASTE team met with (where possible) college and university TUSRs to canvas their views on the effectiveness of the institutions Health and Safety Committee and health and safety management in the institution. The STUC's support for the CHASTE project has undoubtedly been a factor in its success.

### **Leading Health and Safety at Work Document**

The Universities and Colleges Employers Association (UCEA) and the Universities Safety and Health Association (USHA) interpreted the Institute of Directors document on leading health and safety at work, to fit the Higher Education sector, and distributed the resultant guidance to all UK Universities. One Scottish university raised its reservations about some of this guidance with the CHASTE Team, with particular reference to the legal liability of lay members of governing bodies. CHASTE consulted with USHA, and subsequently produced its own supplementary guidance, which was approved by the CHASTE Steering Group, as

clarification for Scottish Higher Educational Institutions.

## **College Student Placements**

CHASTE has evaluated the potential for shared services in this subject area and has recommended that a common approach and development of a Scottish database for pre-approved placement providers would significantly streamline the pre-vetting process and significantly reduce costs. To assist with this CHASTE has developed a pre-vetting format which could be used as a template to ensure that the health and safety elements of placement pre-vetting are carried out in a consistent manner.

## **Additional Work outwith the Scope of the CHASTE Project**

### **Spanish Universities**

Through already existing relationships between CHASTE team members and colleagues in Spanish universities, the CHASTE project has been of keen interest to the Spanish Ministry of Education since December 2004. This has led to a number of collaborations between the CHASTE team, various Scottish universities and the Spanish university sector. This has included a CHASTE Project Coordinator speaking a Spanish Rectors' conference at Barcelona University, explaining the CHASTE Project's ethos, a CHASTE Project Coordinator working with Scottish university colleagues in Valencia University to advise on emergency evacuation of disabled persons, and CHASTE facilitating cooperation between a Scottish university and the Spanish Ministry of Education in Madrid to help the Ministry review its pandemic flu response procedures.

CHASTE team members were also co-opted onto the International Organising Committee for, and contributed to, an international conference on social action organised by the University of Granada.

All of the above collaborations were funded by either individual Scottish or Spanish universities. CHASTE team members undertook such work entirely out with CHASTE Project contracted time. This section is included simply to demonstrate the interest CHASTE has generated abroad, particularly in Spain.

## **Acknowledgements**

A major component of the CHASTE Project from its onset has been promoting partnerships between the many and varied stakeholders concerned with health and safety in universities and colleges. This being the case, CHASTE would like to thank all those organisations and individuals who have been involved and have contributed to the success of the Project. In particular, the Project team would like to thank:

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Universities Scotland

STUC

The members of the CHASTE Steering Group