



Health and Safety Training and Supervision

Introduction:

University of Nottingham is committed to maintaining and developing standards of excellence in all aspects of its business. To that end, the University aspires to deliver high standards of health and safety management and recognises that training and development at all levels is a key contributor in delivering those standards.

Providing appropriate information, instruction and training will:

- Ensure staff and students are capable of undertaking their duties in an effective and efficient manner in accordance with legislation;
- Develop a positive working environment, where safe and healthy working environments and working procedures contribute towards effective and efficient operational processes;
- Reduce the risk of staff, students and visitors etc. being injured or made ill as a result of University activities and thereby reduce the financial costs of accidents and ill health to the University.
- Meet the University's legal duty of care to protect the health and safety of staff, students, visitors and anyone else who may be affected by the University's activities.

Duties under the Law:

The Health and Safety at Work Act 1974 places a legal duty on the University to ensure that staff at all levels are "competent" to undertake their duties. Competency is usually acquired through the provision of adequate information, instruction, training and supervision, plus relevant experience. However competency cannot be achieved by experience alone and therefore a structured programme of information, instruction and training is essential to ensure competency.

This legal duty is expanded on by the Management of Health and Safety at Work Regulations 1999, which identifies situations where health and safety training is particularly important e.g.

- On appointment
- On transferring or being promoted to a new post;
- where there may be significant changes to the working environment;
- where there may be significant changes to the work activity, or the work equipment;
- the technology changes;
- where people may be exposed to new or increased risks; and
- where existing knowledge and skills may need updating.

Responsibilities:

The University Council, as employer, carries the ultimate responsibility for safety in the University. However, as with all matters relating to health and safety, Heads of Schools



and Professional Services Departments have devolved responsibility for the application of this policy and ensuring that staff are trained and competent to undertake their duties.

When allocating work to staff, line managers and supervisors have a legal responsibility to ensure they have taken into account the employee's capabilities and provide relevant training as relation to health and safety. Similarly where there are self-employed people or contractors working under the control and direction of the University then mangers must ensure that they receive relevant training to ensure their safety.

For the purposes of this policy postgraduate students will be considered as employees and therefore academic supervisors will have similar responsibilities for ensuring training, competence and suitable supervision of students.

Individuals have a duty to co-operate with the University and comply with this policy.

Definitions

There is no legal definition of the terms "information, instruction, training, competence and supervision". The terms are intrinsically linked

- **Information** means providing factual material which tells people about potential hazards and risks, and appropriate health and safety measures to minimise those risks.
- **Instruction** means telling people what they should do; and
- **Training** means helping people to learn how to do something. This might be through a combination of the following:
 - provision of written information,
 - a classroom presentation
 - demonstrating a task or procedure
- **Competence** can be described as the combination of training, skills, experience and knowledge that a person has and their ability to apply them to perform a task safely. This must be assessed, following training, by a competent person using any of or a combination of the following :
 - Written test/exam [e.g. induction information]
 - Verbal discussion/questioning
 - Observation [usually for practical tasks]
- **Supervision** is the process of ongoing monitoring the effectiveness of the training that people have received, and whether they maintain the necessary capacity and competence to do the job

Implementation

1. Decide who needs Health and Safety Training:

Managers, Principal Investigators and Supervisors have a key role concerning the effective management of health and safety issues. Therefore they need to know what their health and safety responsibilities are, what is expected of them and how the

University expects them to deliver the health and safety message. They need a clear understanding of the University's Health and Safety Policy and where they fit into the health and safety management structure.

In addition to general health and safety management training, they may also need detailed training relating to specific hazards and their associated control measures.

Every employee of the University will require a degree of health and safety training. They will need to know how to work safely and without risk to themselves or others who may be affected by the work activity. They will require knowledge of the University's Health and Safety Policy, health and safety arrangements within their School / Directorate, and what is expected from them with regard to health and safety.

Similarly, as mentioned previously, **postgraduate students and project students** will require training in order that they conduct their research work in a safe manner without risk to themselves or others.

2. Assess Training Needs

A training needs assessment is designed to identify the skills and knowledge required to carry out duties effectively and in a manner which takes account of safety, health and environmental issues. Persons undertaking a "training needs assessment" are also required to be competent to ensure that the training needs identified covers all appropriate safety, health and environment issues.

Methods of completing a training needs assessment may include:

- Identify the skills and knowledge needed for people to work in a safe and healthy way. Compare the findings against people's current skills and knowledge to identify any possible gaps. Consider hazardous equipment, substances or activities such as manual handling, ergonomics, working at height.
- A review of risk assessments to see where information, instruction and/or training have been identified as key risk control factors;
- Consulting with employees or their representatives for their views; and
- A review of accident / incident reports where a lack of information, instruction and/or training has been recorded as a possible causation factor.

Training needs assessment is an ongoing process, not something that is just considered at the start of employment. Therefore it is important that training needs of individuals are regularly reviewed. In this can be undertaken in a variety of ways.

- Review at regular team/group meetings
- Review during project supervisory meetings
- As part of the personal development and performance review process.

3. Deliver Training

Training will need to be delivered by a range of methods and at different levels.

- University level** - classroom based lectures delivered annually/biannually, by Safety Office staff and/or on-line training resources. These are general awareness sessions to ensure key information is delivered to new staff and

students – they are not a substitute for local induction and job specific/task training.

- **External training providers** may also be engaged to provide specific training where there is no suitable in-house expert, e.g. cylinder handling, use of ladders, autoclaves.
- **Local Induction training.** All individuals should receive local induction in the emergency procedures of their workplace and also induction into the specific procedures that pertain in their work area [e.g. waste treatment, risk assessments etc.]
- **Job specific/task training** Individuals will also then need job/task specific training in how to carry out specific techniques or use particular items of equipment. This training should be delivered by nominated individual who is deemed to be suitably competent in performing the techniques or using the piece of equipment. This training should include
 - issuing written information [i.e. the Standard Operating Procedure for the process]
 - practical demonstration by the authorised trainer, and
 - assessment of competency [see later]
- **Refresher training** It is important that competency is maintained so there needs to be ongoing/refresher training at suitable frequencies which will include:
 - When procedure or equipment changes
 - High risk operations – where adherence to procedure important
 - If procedure/task is performed infrequently
 - Following an accident /incident or if there is concern that protocols are not being followed.

4. Assess Competence

Assess the knowledge and practical skills of the trainee following training by a competent person. The methods of assessment will vary but could include one or all of the following:

- Written test/examination/questionnaire [e.g. induction information]
- Verbal discussion/questioning
- Observation [usually for practical tasks]. For high risk operations consider 'cold dummy run' using non harmful substances until satisfied that desired degree of skill is obtained.

Sometimes a combination of any of the above is used – e.g. supplementing observation with questions e.g. if X happened what would you do?

5. Record training and attainment of competence.

Delivery of training and attainment of competence must be recorded in an appropriate manner. A training record is an important document for both the University and the Individual as they provide documentary evidence for regulatory agencies but also provide the individual with relevant information about their skills that can be taken forward into new employment. To that end Schools/departments must ensure that there are systems in place that ensure records are securely stored but readily accessible by the individual and their manager/supervisor. See [Training Record Template](#).



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For certain types of work recording training is mandatory [e.g. driving fork lift trucks, working with Hazard Group 3 Biological Agents] however the University requires training records to be kept **for all individuals and all types of work**.

The information recorded must include details of the training provided, the signature of both the trainer and the trainee and the method by which competency was assessed. The complexity and amount of detail included in the record should reflect the degree of risk and the complexity of the role. For example for an office based role the record would include general health and safety induction into the area, fire procedures, safe use of DSE, whereas for work in a laboratory area the record will be much more extensive and include training in specific protocols, use of specific equipment etc.

Suitable templates for recording training are contained in the appendix.

6. Maintain Competence through effective Supervision.

It is the manager's/supervisor's responsibility to decide on the appropriate level of supervision for particular tasks. The level of supervision will depend on the risks involved as well as the competence of employees to identify and handle them.

A higher level of supervision will need to be maintained for new workers/students who are still undergoing training. It is important that the supervisor is able to demonstrate regular review of any health and safety implications arising from the progress and development of the research project and the competence of the research student. The routine recorded supervision meetings provide an opportunity for confirming this and a modified supervision record from the Quality Manual is provided in the appendix.

Processes that involve the use of very hazardous substances [e.g. carcinogens or dangerous pathogens] or equipment will require more complex control measures to be applied to reduce risk. It is important that managers/supervisors are confident that the person is working safely and continues to do so. Therefore regular observation of what they do is important. For low risk operations such as those involving use of low hazard reagents it may be sufficient to demonstrate the process, observe they do it correctly and confirm that all is satisfactory through normal observations and discussions.

7. Review and Monitoring.

Each School/Department will be responsible for monitoring the appropriateness and effectiveness of the training provided to its staff and students. The University Safety Office will review annually the provision of health and safety training at University level and will also monitor compliance with this policy through the Annual Safety Review process.

8. Working Across Multiple Premises.

There are additional considerations where someone works across two or more locations. This includes collaborative working to share facilities or expertise, or peripatetic working such as building maintenance work where the nature of the person's role is such that they will be performing similar tasks across a number of locations. This does not apply to low risk activities such as visiting other locations as an observer or visitor where the person will be under the supervision of local personnel. It also excludes delivery of lectures and seminars etc.

a. Collaborative working.

Members of staff, postgraduate researchers and visiting researchers will have received a general induction on arrival/starting work as described above and arranged by their line manager or supervisor. Where the work will involve activities carried out at a different location, laboratory, building or site then a supplementary induction will be required to ensure that they are aware of any location-specific differences. A more specific induction will be required for any laboratories or other areas with hazardous activities that they will be engaged in or exposed to. This latter induction is the responsibility of the Principal Investigator or manager for the facility.

b. Peripatetic working

The risk assessment for peripatetic workers for their activities should include any particular, non-standard risks or procedures relating to the various locations that they will be working in. The person's manager should ensure that they are familiarised with each location, access arrangements and key contacts at them. A modified version of the checklist could be used to cover all the locations.



Record Templates

A Training Record Template that incorporates sheets for recording the following has been put together:

- University Level Training
- Faculty/School/Departmental and Building Induction
- Specific Workplace Induction
- Job Specific Training

[Link to Form](#)

It is recommended that this or similar record keeping is instigated to create the appropriate evidence for the training and competency checks that are taking place.

Quality Manual - Research Degree Supervision Record

Supervisors must also record the formal meetings with their research students and the University Quality Manual Supervision Record form is available for this.

The Quality Manual recommends a minimum of 10 meetings per year for full-time students and 6 meetings per year for part-time students.

[Link to Form](#)