Health and Safety in Research Procedure

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Edge Hill
University

Health and Safety in Research Procedure

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Summary

Health and Safety in Research Procedure

Glossary of Terms

Risk – A measure of the probability and consequence of harm and damageoccurring.

Hazard – Something that has the potential to cause harm.

Control Measures – Actions taken to prevent, or to adequately control exposure toa hazard.

Competent person – Combination of training, skills, experience and knowledge thata person has and their ability to apply them to perform a task safely.

Reasonably practicable – Weighing the risk against the effort, time and moneyneeded to control it.

Suitable and Sufficient – Ensuring that the Risk Assessment considers all elementsof the Risk Assessment process and that appropriate monitoring and checks are in place.

Research - a process of investigation leading to new insights. Further information in Introduction below.

Purpose

The purpose of this procedure is to define the organisational structure, roles and responsibilities within the University in relation to health and safety in research and to signpost individuals to other relevant University and 'external' health and safety documents.

Introduction

Edge Hill University (EHU), like all employers, has a statutory duty to ensure so far as is reasonably practicable, the health, safety, and welfare of its employees and others affected by its undertakings (*Health & Safety at Work Act 2004*). A university's duties under health and safety law extend to all of its research activities. Research, for the purpose of this document, refers to the definition used by the Research Excellence Framework in which it is defined as: '…a process of investigation leading to new insights, effectively shared. It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as

for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research.'

This procedure outlines the health and safety requirements in research across all subject disciplines and fields of study in the University. It applies to all those undertaking research on the University's premises using its facilities, or on behalf of the University, including staff, students, visiting or emeritus staff, associates, honorary or clinical contract holders, contractors and consultants. It defines roles and responsibilities explicitly relating to health and safety in research and should be used to signpost individuals to relevant internal and external information. This procedure should be read alongside the Code of practice for the conduct of research and Edge Hill University's Health, Safety and Environmental Policy.

Operational Governance

The Board of Governors

Under the requirements of the Health and Safety at Work Act etc. 1974 and subsequent statutory regulations, the Board of Governors are responsible, through the Vice-Chancellor, for issuing a written statement covering our general policy with respect to the health, safety and wellbeing of our staff, students and visitors.

Vice-Chancellor / Directorate

The Vice-Chancellor is the chief academic and executive officer of the University and chairs the Academic Board. The Vice Chancellor, Deputy Vice-Chancellor, Pro Vice-Chancellors, and Deans of Faculties have management responsibility for all the operational areas of the University.

Institutional Health, Safety & Environment Committee

The HS&E Committee advise the Vice-Chancellor, Deputy Vice-Chancellor, Pro Vice-Chancellors and Board of Governors on matters relating to health and safety and policies, procedures and management processes and support all areas of the University in effectively managing their safety. They provide a platform for consultation and discussion on safety matters including issues relating to health and wellbeing.

Research and Innovation

The Research Committee is chaired by the Pro Vice-Chancellor for Research and is responsible for ensuring that the highest standards of rigour and integrity are maintained in all aspects of research and that research is conducted according to relevant legal and professional frameworks, obligations and standards. Through this committee, allegations of research misconduct, including unsafe research practices, are investigated using transparent, robust and fair processes.

University Research Ethics Sub-Committee and the Subject Research Ethics Committees (RECs)

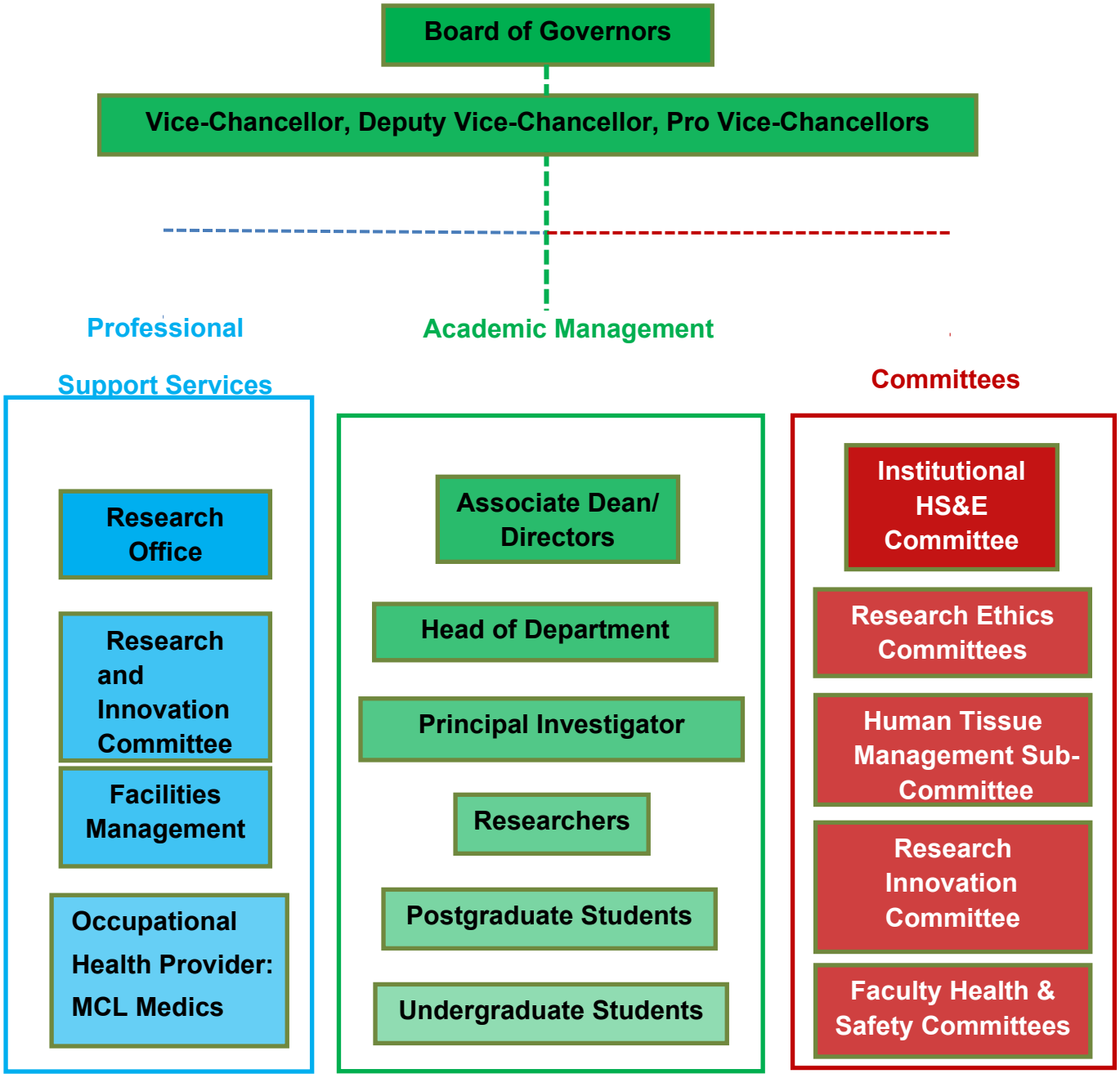
The University Research Ethics Sub-Committee (URESC) and Subject-Specific Research Committees (SRECs) review research applications requiring ethical approval. They ensure that the dignity, rights, safety and well-being of all involved in research are a primary consideration in the research project, and that researchers have taken steps to avoid unreasonable risk or harm to research subjects, patients, participants, researchers and others.

Ethical review also ensures that researchers have taken steps to avoid unreasonable risk or harm to research subjects, patients, participants, researchers and others. All projects must be registered via the University's research ethics system, Haplo. For low risk projects, there will be expedited review, other projects will undergo full SREC review. Please see the Research Ethics Policy and Standard Operating Procedures for full details.

Principal Investigator

The Principal Investigator (PI) is the person with the responsibility for the research project, including having direct oversight of the health and safety aspects of a specific research project. The PI must be a member of staff and must have sufficient expertise in the area of research to be able to identify the risks of the work. The PI must have the capacity, in terms of time and commitment, to be able to carry out the responsibilities outlined in this document.

Organisational structure



Roles & Responsibilities

The University and its researchers must always ensure the safety and well-being of all involved in research and avoid unreasonable risk or harm to research subjects, patients, participants, researchers and others. All researchers at Edge Hill should design and conduct their research to the highest health and safety standards. The University is committed to fostering a positive health and safety culture and believes that health and safety should not be a barrier to research but rather that it promotes good practice and high-quality research.

If you are involved in the supervision and development of other researchers, you should ensure that they are fully aware of their responsibilities in addition to your own.

The following table outlines the responsibilities of all those involved in academic research at Edge Hill University. A table of definitions can be found in Appendix 1.

Person/ Department	Responsibilities
Vice Chancellor	Has ultimate responsibility for: • The health, safety and welfare of all those involved in research or providing research support, • The health and safety of visitors to the University or anyone who may be affected by the organisation's activities, • Setting the organisation's Institutional Health, Safety & Environmental Policy, • Delegation of specific health and safety duties.
Deputy Vice-Chancellor/Pro Vice-Chancellors	The Deputy Vice-Chancellor and Pro Vice-Chancellors, along with the Vice-Chancellor are responsible for achieving the objectives of Edge Hill University's Health, Safety & Environmental Policy. They must: • Ensure that the Directors and Associate Deans, for whom they are responsible, understand and execute their individual responsibilities for health and safety in research, and that the requirements of applicable legislation are met, • Advise the Board of Governors of the resources required to comply with statutory requirements and make adequate arrangements for doing so, • Ensure that suitable communication channels are introduced and maintained to disseminate information relating to health and safety in research and raise its profile across the University.
Associate Dean/ Director	Must ensure that: • They have read and understood the institution's policies, procedures and committee structures,

	• Health and safety policies, guidance and arrangements relevant to the expected risks in the research or work area are in place and adhered to, • Comprehensive risk management, identification and control programmes are in place, indicating how higher risk activities such as research involving hazardous equipment or substances, lone working or fieldwork will be managed, • Individual responsibilities for health and safety are allocated appropriately and performance is reviewed as part of the annual appraisal, • The composition of general or specific health and safety committees is established and/or health and safety is a standing item on faculty board meetings, • Identify how competent health and safety advice will be obtained and show that health and safety will be adequately resourced, • Systems are in place for identifying training needs and providing appropriate training and supervision for research staff and others in the workplace, • Appropriate planned, preventative maintenance regimes are in place – i.e. that policy and guidance details how health and safety management will be monitored using appraisal, reporting arrangements, inspection, health surveillance, incident and work-related ill health reports, incident type analysis and audit, • The sanctions for not following organisational and faculty policy or codes of practice are made clear to all.
Head of Department	Must ensure that: • They have read and understood the institution's policies, procedures and committee structures, • They nominate appropriate staff to fulfil specific roles with relation to health and safety in research, • They make every effort to employ competent researchers, identify training needs and recommend both internal and external training opportunities, Special permission or licensing arrangements required for the work are in place and that appropriate permits and licences are obtained before the research commences, • Robust emergency plans are in place for research activities that pose high safety risks and that these are reviewed annually. • Appropriate safety and environmental information are provided for staff, students and visitors, • All staff and students undergo an induction process that covers health and safety, • They, and all persons reporting to them, understand and execute their responsibilities and all are adequately

	trained to enable successful implementation of the safety and environmental management system, • All applicable statutory regulations, codes of best practice and University policies are adhered to, and where not adhered to that these are challenged, • The safety and environmental risks associated with departmental activities are risk assessed and that the health and safety of researchers and others will not adversely be affected by known or emerging risks by ensuring adequate control measures are introduced and maintained, • Safe working practices are developed and adhered to in order to ensure the safety and wellbeing of the Edge Hill community and protect our environment, • Health and safety is a standing item on departmental meetings allowing regular review of their departmental practices, • They inspect their operational areas on a regular basis to maintain a safe environment, • Appropriate supervision is available for researchers and research support workers, depending on the risk of the activity and the experience of the individual, • All plant and equipment are procured and provided to facilitate safe working practices with consideration of the environmental impact it may have, • They seek specialist, expert advice on any health, safety and environmental matters for which clarification or assistance is required, • They notify the appropriate Director or Dean of any breach of statutory requirements which cannot be dealt with effectively, • They advise the Director or Dean of those resources required to make adequate arrangements for safety and environmental management, • All accidents and near misses are reported via the online system, investigated and any findings acted upon, • They respond appropriately to any health and safety matters brought to their attention by persons for whom they are responsible, • They set an example by their own behaviour and are prepared to take action if health and safety is compromised by the things their researchers do or fail to do.
Principal Investigator	The Principal Investigator must ensure that: • They have read and understood the institution's policies, procedures and committee structures,

	• They are aware of the legal requirements for their area of research and comply with all legislation and relevant licence requirements, • Suitable and sufficient risk assessments relating to the work are carried out and that information regarding risks and control measures is communicated to their researchers and others affected by the research (see Risk assessments & COSHH), • They keep up to date with knowledge of risks relating to the research project and are able to identify and manage the risks in their field of work, • Health and safety is a standing item on team/research group meetings, • They assess the training needs of those they supervise and where gaps in knowledge or competence are identified, put in place training and/or awareness programmes, • Research supervisors and post-doctoral researchers are trained in risk assessment techniques and they are satisfied that those given supervisory roles are competent to supervise others in their research activity, • Extra consideration is given to the training and supervision of undergraduate students or those with limited experience in the area of research, • They enforce health and safety standards and codes of practice and set a good example to their research staff and others in the workplace, • Their researchers and research support staff are knowledgeable of the emergency procedures necessary for protecting their safety and the environment, • Their researchers and research support staff have received appropriate training, instruction and supervision to undertake the tasks required of them, • They provide adequate and appropriate personal protective equipment (PPE), where identified through the risk assessment process, including training it its correct use, • They respond appropriately to any matter brought to their attention by persons for whom they are responsible, • Any research that presents an unnecessary risk or breaches legislation is prevented or stopped, • Any delegation of responsibility at an operational level to others involved in the project, is overseen by themselves, and that they maintain oversight with respect to health and safety, • All accidents, near misses and issues of concern are reported via the online system, investigated and any findings acted upon,

	• Check that those under their supervision are following the necessary safe working practices, and that all control measures are working properly, • Research participants are aware of their responsibility for the health and safety of themselves and others whilst on the campus and that they comply with the relevant University policies.
Researchers including post-graduate research (PGR) students	Must ensure that: • They have read and understood the institution's policies, procedures and committee structures, • They take all reasonable care for the health and safety of themselves and of any other person who may be affected by their acts or omissions, • They co-operate with the University and any sponsoring organisation, to enable compliance with legislative duties with regards to safety and environmental management, • All accidents, dangerous occurrences or issues of concern are promptly reported to their Principal Investigator/Head of Department and reported via the online system, • They do not, intentionally or recklessly, interfere with or misuse anything provided by the University in the interests of health, safety or wellbeing, • They comply with all instructions, written and oral, provided to ensure their personal safety, the safety of others and to protect the environment, • They attend and successfully complete training courses required to comply with statutory regulations, and develop the individual's safety competency, as appropriate to their role, • They correctly use personal protective clothing, equipment and devices provided in the interests of their safety, • They maintain tools and equipment in a good, usable condition, reporting any defects to their supervisor/line manager, • They inform the Principal Investigator of any situation/ change in circumstance that would affect their ability to participate in the project.
Undergraduate & taught postgraduate (PGT) students	Must ensure that: • They do not, without the consent of the member of staff in charge of the areas of activity: - introduce any equipment for use on the University's premises, - alter any fixed installations, - alter or remove health and safety notices or equipment, - otherwise take any action which may create hazards for persons using the premises or other members of Edge Hill community,

	- must comply with all requirements in relation to health surveillance, • They do not, intentionally or recklessly, interfere with or misuse anything provided by the University in the interests of safety or protection of the environment, • They attend and successfully complete training courses required to comply with statutory regulations, and develop the individual's safety competency, as appropriate to their role, • They correctly use any personal protective clothing, as instructed and required, and shall correctly use any equipment provided in the interests of their safety, • Conform to all instructions, written or oral, provided to ensure their personal safety, the safety of others and protect the environment, • They maintain tools and equipment in a good useable condition, reporting any defects, • They promptly report all accidents, dangerous occurrences or environmental incidents, • They inform the principal investigator of any situation/change in circumstance that would affect their ability to participate in the project.

Non-academic research support workers

It is important to establish the risks that the research poses to the health and safety of research support staff and others who may be affected in the organisation. The risks the research activity could present to cleaners, maintenance staff, engineers, technicians, administrators and so on must be assessed and adequate risk control measures put in place before the research project starts. Research support workers must be informed about relevant risks, associated risk control measures and their personal responsibility for health and safety. They should also be competent to discharge their duties without causing harm to themselves or others.

Principal Investigator

All research at EHU, whether internally or externally funded, must have a Principal Investigator, who has overall responsibility or oversight for the conduct of the research. For research led by a collaborating institution, there still needs to be an EHU Principal Investigator to lead for the University in relation to the project. For student research, the Principal Investigator is the Director of Studies (PGRs) or student Research Supervisor (PGTs). For research conducted as part of personal research and scholarship, this is the individual researcher undertaking this activity. Please refer to operational governance and appendix 1 for a definition of the Principal Investigator for the purpose of this document.

Inexperienced staff and students

Trainee researchers, such as undergraduate and PGT students or researchers who are new to the area of research, cannot be assumed to be aware of the health and safety risks of the research or workplace and must be trained and supervised until they are competent to work without direct supervision by PI or delegated competent persons. Where students use University services that are not under the control of the member of staff supervising the project
e.g. library, the responsibility for the health and safety of the students will fall under the responsibility of the manager of the relevant service.

Visiting academics and research partners

All research conducted at or under the auspices of Edge Hill University is covered by this document. Consequently, all visiting academics, students and external research partners are expected to comply with EHU requirements in relation to health and safety and good research practice.

Induction & Training

Health and safety law requires that employers provide whatever information and training is needed to ensure, so far as is reasonably practicable, the health and safety of their employees. The Health and Safety Executive (HSE), which is Britain's national regulator for workplace health and safety, defines training as ‘helping people to learn how to do something, telling people what they should or should not do, or simply giving them information’.

Edge Hill University has a duty to ensure that researchers, whether or not they are employees, have sufficient information and training to be able to do their research competently and without increasing risks to their own or others’ health and safety. Responsibility for training employees may be delegated down the management chain, as long as the person responsible for training is sufficiently skilled and competent. Competence is defined here as the ‘combination of training, skills, experience and knowledge that a person has and their ability to apply them to perform a task safely’. Training must be provided by competent people and to the standard necessary to ensure health and safety. There is no bar to training being given by competent in-house staff; however, some training must be sought from external accredited sources including, but not limited to, phlebotomy, counselling and gas safety. Where internal training is provided it is desirable that those providing the training have some skill and aptitude to undertake training, with sufficient experience and knowledge of the working environment to put their instruction in context. They should also have the ability to assess the skills attained.

The skills required for particular tasks or duties should be assessed before recruitment and efforts should be made to employ or contract suitable people. It is important to record all training and information given to researchers. Both trainer and trainee should sign off the delivery and receipt of information, formal training and on-the-job training. Records of all training should be kept with the researcher's personal file and should be accessible to their manager/research supervisor. Training needs should be assessed regularly and when new techniques or equipment are introduced. Refresher training should be provided where appropriate and date of when required should be detailed in the departments/faculties training matrix.

The HSE regards new employees as vulnerable workers since they are 'as likely to have an accident in their first 6 months at a workplace as during the whole of the rest of their working life'. Therefore, staff induction is a particularly important aspect of health and safety.

An example induction checklist for staff can be found in on the FM wiki page under Induction. Learning and development opportunities can be found on the Human Resources Wiki page and sessions can be booked through MyView. Edge Hill University have also partnered with LinkedIn Learning giving access to thousands of high quality online courses and video tutorials written by industry experts.

In summary, Managers are required to:

- Assess a new starter's capabilities,
- Provide an induction tailored to the needs of the individual,
- Provide relevant information, instruction and training about the risks that workers may be exposed to and the precautions they will need to take to avoid those risks,
- Make sure the control measures to protect against risk are up to date and are being properly used and maintained,
- Provide adequate supervision,
- Check understanding and ability/skill.

Risk Assessments & the Control of Substances Hazardous to Health (COSHH)

All research tasks and projects should be evaluated for foreseeable health and safety risks by competent people before the work starts. In specialist research areas, the Principal Investigator is the person most likely to be able to make valid judgements about risk and should be prepared to justify their conclusions. Risk assessments should also consider the skills and experience of research team members.

Where risk in a research project is unavoidable, a hierarchy of risk control solutions should be considered:

- Can less hazardous materials, equipment or processes be used?
- Can risks be mitigated at source using engineering controls such as equipment guards and interlocks? What collective protective measures can be put in place?
- Can suitable systems of work be designed, specifying what is required in terms of training, rules, procedures and supervision?
- What individual protective measures are required, such as personal protective equipment, prophylaxis or health surveillance?

It is the responsibility of the employer to ensure that reasonably practicable risk control measures have been put in place. If existing resources cannot provide essential safety features, then the project cannot start until these are in place or must be altered accordingly. Health surveillance should be considered when, following risk assessment and after the implementation of control measures, there is a residual risk of ill health to employees. Please contact the University's occupational health provider MCL via Occupational Health Admin should you require advice. Further information on health surveillance can be found on the Health, Safety & Environment Wiki.

Edge Hill University's risk assessment template and more information can be accessed via the Health, Safety & Environment Wiki. If you work with substances that are harmful to health, you will also need to complete a Control of Substances Hazardous to Health (COSHH) risk assessment for each substance. Substances that may be hazardous to health include:

- Chemicals,
- Products containing chemicals,
- Fumes,
- Dusts,
- Vapours,
- Mists,
- Nanotechnology,
- Gases and asphyxiating gases,
- Biological agents (microorganisms, animals and plants). If the packaging has any of the hazard symbols then it is classed as a hazardous substance,
- Microorganisms that cause diseases such as leptospirosis or legionnaires disease and those used in laboratories.

Some COSHH forms, such as BioCOSHH forms and genetically modified organism (GMO) risk assessments, have been specially adapted so that the correct risks are being assessed. Please email the Biological Safety Officer if you require information about the risks of biological agents or one of the forms referred to above. For work with blood and other bodily fluids, you must read and adhere to the Procedure on the Management of Needlestick and Sharps Injuries and Incidents involving Human Blood or Other Bodily Fluids Exposure which can be found on the Health, Safety & Environment wiki page, and adhere to the University's policy and procedure outlined in the Human Tissue Quality Manual if relevant activity and material. More general guidance on risk assessment for research is available in the Research Risk Assessment at Edge Hill University found here.

Research Settings

Research in the community

Those who conduct research in the community should read the section on 'working with vulnerable and at-risk populations'. A risk assessment should be carried out prior to the research taking place that takes into account the safety of both the research participants and the researcher. Researchers should only work in the community alone if the risk assessment finds that the activity is low risk (see Lone Working Procedure).

Research in the NHS

Research activities must comply with local NHS regulations.

The NHS Research Passport system establishes a common system of pre-engagement checks for University employees undertaking research in the NHS. The checks conform to the standards required of all NHS bodies, and are therefore transferable across NHS Trusts.

The passports consist of a number of academic, research, health, employment, qualification and personal checks to ensure that the researchers employed on Research Contracts are professionally and personally checked for the level of work which they will undertake within the NHS. You can find out more by visiting this link on the Human Resources pages and reading the information under Research Passports.

Laboratory Research

Laboratories are classified into containment levels based on the pathogenicity of the **biological agents** that they contain and the planned activities with said agents. The assignment of an agent to a Hazard Group for laboratory work must be based on the approved list of biological agents and through risk assessment such as a BioCOSHH form (see Risk Assessments). Such an assessment will take the hazard group of the agent as well as other factors into consideration when establishing the appropriate ilevel. You should consult the Approved List of Biological Agents to find out the human pathogen hazard group of the agents you are working with.

You should also consult the Biological Safety Officer if you are unsure what containment facility is required for your work. Edge Hill University currently has containment level 1(CL1) and containment level 2 (CL2) facilities.

If your research involves genetic modification, please contact the Biological Safety Officer for further information. The Contained Use Regulations place a statutory obligation on anyone carrying out a risk assessment under those Regulations to establish a Genetic Modification Safety Committee. The GMO safety committee at Edge Hill University act to review GMO risk assessments and ensure good practice on safety, training and laboratory discipline.

Work involving the use of Human Tissue is governed by the Human Tissue Act 2004. TO ensure compliance, the University has established a Human Tissue Management Sub-Committee (HTMSC), which is responsible for producing the Human Tissue Quality Manual – the policies and procedures governing the acquisition, use, storage, and disposal of human tissue by our staff and students. The HTMSC also monitors compliance with the quality manual and the conditions of the Human Tissue Research Licence, and oversees training and support relating to activity under the licence. For further information please contact the Biological Safety Officer.

If your research involves the use of **hazardous chemicals**, you should ensure that you have risk assessed the use of each chemical by completing a COSHH Assessment. You should refer to the HSE guidance publication and the OCM8 information sheet regarding their storage.

If your research involves work with **compressed gases**, you should consult the Edge Hill University Policy for work with compressed gases on the Health, Safety & Environment Wiki.

Office & computer-based research

All researchers working with display screen equipment (DSE) must complete a workstation assessment and send it to the designated workstation assessor in your department. This person will review the assessment and arrange for training and controls to be put in place that will reduce the risks. For more information, please read the brief guide - HSE Working with Display Screen Equipment (DSE).

Working from home

A lot of work carried out at home is likely to be low-risk, office-type work. Of the equipment used to work at home, the University is only responsible for the equipment that it supplies. For more information on how to reduce the risks associated with DSE, please read the brief guide - HSE Working with Display Screen Equipment (DSE).

If your research involves working from home and does not fall into the low-risk category, you should complete a risk assessment and ensure that the work is suitable for the setting and, if so, that controls are in place to reduce the risk of the work. Researchers should **NOT** conduct work from home that is high risk unless specifically

agreed in writing with the Head of Department. For more information, please read the HSE Working from Home publication.

Fieldwork

Fieldwork is any work, carried out in the UK or abroad, where the collection of samples or data, or making observations is carried out at a location or premises not owned or managed by EHU. The risks associated with fieldwork will vary according to the location and method of data or sample collection. More guidance on this can be found on the Health, Safety & Environment Wiki. Risks may arise from the following factors:

- Work on or near water,
- Poor sanitation,
- Excavations,
- Weather conditions e.g. high or low temperatures,
- Terrain e.g. mountains or desert,

- Isolated locations where normal methods of communication don't work e.g. mobile phones,
- Pre-existing conditions affecting the fieldworker e.g. allergies, health conditions,
- Vehicles and transport,
- Moving and handling equipment,
- Cultural and/or legal differences (see research in another country).

Please note that the above list is not exhaustive.

Lone working

Researchers must assess the risks of working alone beforehand. Lone working can occur when conducting fieldwork or when working out of hours. When conducting a risk assessment for yourself and/or members of your research group, things to consider to help ensure lone workers are not put at risk include:

- Assessing areas of risk including violence, manual handling, the medical suitability of the individual to work alone and whether the workplace itself presents a risk to them,
- Requirements for training, levels of experience and how best to monitor and supervise them,
- Putting systems in place for lone researchers to keep in touch with other members of their research group,
- Please read Edge Hill University's Lone Working Procedure and consult the HSE guidance for working alone for further information. Departments may have additional lone working policies or procedures that provide more detail and must also be adhered to.

Research in another country

EHU researchers conducting research abroad, or as part of an international collaboration, should be aware of the different civil, legal, financial and cultural conditions when working overseas and are expected to refer to international guidelines and conform to relevant local regulations for the country or countries where the research is taking place. You should check the British Foreign Commonwealth Office website for travel advice for the country you are planning to travel to, both before and during your stay there as well as complete any necessary risk assessments and insurance forms (see Insurance).

Immunisations may be required in advance of the trip. Some immunisations must be administered weeks in advance to be effective. The University's Occupational Health provider MCL Medics can offer travel health advice for staff travelling overseas on work related business. This may include undertaking research, attending conferences or going on field trips. For more information, please click **here.** If you require any specific advice, please contact MCL Medics (https://www.mcl-medics.com/).

Research involving high-risk and vulnerable populations

Research should protect the health and safety of the researcher as well as consider the vulnerability and the health and safety of the research participants.

High risk/vulnerable populations whose situation may increase the risk of harm to the researcher or themselves are listed below:

- Frail older people/people with dementia
- Those with mind or brain impairments or learning disabilities
- Those with mental health problems
- The homeless
- Asylum seekers
- Drug users
- The bereaved
- Victims of abuse
- Children / young persons
- Illegal substance users
- Those who misuse legal drugs/substances
- Those under the influence of alcohol
- Criminals/those with a history of violence
- Those with conditions that can provoke violent outbursts
- Those with contactable diseases.

If you recruit participants or collect samples from high risk or vulnerable populations, you must ensure that you take steps in order not to adversely affect the health and/or safety of the participants or yourself. Those undertaking research with children and young people[1], vulnerable adults[1] or Edge Hill University students[1] should read Edge Hill University's ethical guidance documents for these particular populations.

[1] The full suite of ethical guidance documents can be found on the University's research governance webpages.

Accident / near-miss reporting

All accidents, near misses, dangerous occurrences and hazards must be reported even if no injury has been sustained. All accidents must be reported using the online incident/near miss form, which can be accessed via this link or on the Health, Safety & Environment Wiki page under accident reporting. All details must be filled in, giving a full account of the accident. If the injured person is unable to do so, then another person (preferably a witness) should be nominated to fill in the appropriate form on his or her behalf. Please see Reporting Of Accidents, Near Misses and Dangerous Occurrences Procedure for more information.

Should an accident occur whilst not on the University campus, but whilst engaging in research activities, then this must be reported in the same way as above. Accidents and near misses may be reported online, 24 hours, 7 days per week: www.ehu.ac.uk/Myfm. Accidents occurring whilst on foreign fieldwork must be notified to the department by telephone or email as soon as possible.

A qualified First Aider may deal with an injury. If an emergency arises, call 999 immediately and then call Campus Support on 2222 to advise them of the situation. 24-hour First Aid is available from Campus Support Staff.

Your Line Manager should be informed of the incident at the earliest opportunity as they have primary responsibility for ensuring the incident is investigated and remedial measures are undertaken to eliminate any residual hazard or risk. It is important that an investigation into the causes takes place as soon as possible to prevent the occurrence happening again. Further information can be found at https://go.edgehill.ac.uk/display/ore/Accident+Reporting.

There are certain work-related injuries, diseases and dangerous occurrences that the University must report to the Health and Safety Executive. If any of these apply, in addition to completing the online incident/near miss form, the University Health and Safety Manager must be contacted immediately. For a list of incidents that are reportable under RIDDOR, please visit http://www.hse.gov.uk/riddor/reportable-incidents.htm.

IMPORTANT CONTACTS	ADDRESS	TELEPHONE NUMBERS
Health & Safety Manager	Durning Centre, Ormskirk Campus, L39 4QP	Ext. 7483
Campus Support	Durning Centre, Ormskirk Campus, L39 4QP	Ext. 4227
Occupational Health – EHU staff	https://www.mcl-medics.com/	
Occupational Health – EHU students	Students Well Being Partners, Wigan Investment Centre, Waterside Drive, Wigan, WN3 5BA	01942 773610
Biological Safety Officer	Bio 009, Biosciences building, Ormskirk, L39 4QP	Ext. 7241 01695657241
Emergencies		Call 999 and then inform Campus Support on Ext. 2222

Southport and Formby General Hospital	Town Lane, Southport, PR8 6PN	01704 547 471
University Hospital Aintree	Lower Lane, Liverpool, L9 7AL	0151 525 5980
Manchester Royal Infirmary (St. James' Campus)	Oxford Road, Manchester, M13 9WL	0161 276 1234

First aid / emergency procedures

First Aid

Heads of Department should undertake a First Aid Needs Assessment to ensure that there are enough trained first aiders and facilities to help casualties of illness or injury immediately, and that an ambulance or other professional help can be summoned without delay. They must also consider holidays and other absences of first aiders.

First aid kits should be available in all research settings. Risk assessments should identify which items need to be in the first aid kit and should consider:

- The nature of the work,
- The history and consequences of injuries,
- The nature and distribution of the workforce,
- The remoteness of the site from the emergency services, including location, terrain and weather conditions,
- The possibility of medical conditions or allergies.

For additional information, please read the HSE leaflet First Aid at Work.

Emergency Procedures

You will be required to produce emergency plans if a major incident in your research setting or occurring from your research could involve risks to the public, rescuing employees or co-ordinating emergency services. Where you share your research setting with other groups or another employer, you should consider whether your emergency plans and procedures should be co-ordinated.

Planning for an emergency helps you to:

- Minimise the time taken for the emergency services to reach you,
- Minimise the risk to operators if there is an emergency,
- Include environmental and other emergencies in your plan.

Points to consider when planning emergency procedures

- Consider what might happen and how the alarm will be raised. Don't forget out of hours working, weekends and times when the premises are closed, e.g. holidays,
- Plan what to do, including how to call the emergency services. Help them by clearly marking your premises from the road. Consider drawing up a simple plan showing the location of hazardous items,
- If you have 25 tonnes or more of dangerous substances, you must notify the fire and rescue service and put up warning signs, liaising with FM Estate Services,
- Decide where to go to reach a place of safety or to get rescue equipment,
- Ensure that there are enough emergency exits for everyone to escape quickly, and keep emergency doors and escape routes unobstructed and clearly marked,
- Nominate competent people to take control (a competent person is someone with the necessary skills, knowledge and experience to manage health and safety),
- Decide which other key people you need, such as a nominated incident controller, someone who is able to provide technical and other site-specific information if necessary, or first-aiders,
- Plan essential actions such as emergency shutdown, isolation or making processes safe. Clearly identify important items like shut-off valves and electrical isolators etc,
- You must train everyone in emergency procedures,
- The needs of people with disabilities and vulnerable workers should be addressed in your emergency procedures,

Work should not resume after an emergency if a serious danger remains. If you have any doubts, ask for assistance from the emergency services.

For any emergency procedures to work well, all operators and managers must be aware of the procedures and have the opportunity to test them. You should test, evaluate and modify your procedures to ensure they are working. Ensure you know your location. Be able to provide OS grid references or GPS coordinates, and access points from the main road into any off-road location.

You should also anticipate problems that will exist in getting to a casualty, e.g. the need for aerial tree rescue, or releasing a casualty who is trapped below a tree or heavy equipment. Identify the personnel and equipment that need to be on site and set up how to quickly contact other people you need.

Personal emergency evacuation plans (PEEPs)

A PEEP is aimed at providing a person who cannot get themselves out of a building unaided, with the necessary information to be able to manage their escape to a place of safety, and to give departments the necessary information to ensure that the correct level of assistance is always provided. Please refer to the Devising a Personal Emergency Evacuation Plan (PEEP) Guidance document for further information.

Fire Safety Policy

Fire risk assessments (FRA), organised and reviewed by Facilities Management, provide the foundation for subsequent effective fire safety management plans within a building. Those researchers who work with compressed gases and/or other flammable substances must complete a DSEAR risk assessment to supplement the FRA for the building.

If you feel that there have been changes made to the building that could affect the fire risk, such as the addition of gas cylinders, the storage of flammable substances or the occupancy of the building, please inform your head of department or line manager who will report the changes to Facilities Management. For your responsibilities relating to fire safety, please refer to the EHU Fire Safety Policy.

Insurance

It is the responsibility of the principal investigator and or head of department to ascertain that any research activity is covered by the University's insurance policy prior to engaging with it. The insurance needs of the University have been assessed and a wide insurance programme is in place, which is reviewed annually. The policies under which the University's research activities are likely to be covered are:

Employers' Liability: The University has Employers' Liability insurance as required by law. This policy provides cover for legal liability in respect to death, bodily injury, illness or disease or nervous shock sustained by an employee of the University and arising out of and in the course of such employment and caused during the period of insurance.

Public Liability: covers legal liability of the University to pay damages and claimants costs arising out of injury to third parties or loss of or damage to property arising in connection with the business.

Principal extensions include undertaking any clinical trial or human volunteer study EXCEPT clinical trials as defined in and requiring authorisation in accordance with the Medicines for Human Use (Clinical Trials) Regulations 2004 or amending legislation. Excluding an indemnity to any qualified medical or dental practitioner whilst working in a professional capacity.

Professional Indemnity: covers the legal liability for any wrongful act or omission resulting in a civil liability in the course of the provision of professional services, i.e. educational, training activities planning supervisors, publishing and video production.

In addition, the above are subject to normal policy terms, conditions, and exceptions. It is important that University procedures for gaining ethics approval and registration under the Data Protection Act are followed, and that a risk analysis and risk management strategy is followed and documented where appropriate.

In the event of a claim, evidence of compliance with these procedures could prove important. Similarly, obtaining an appropriate disclosure from the Disclosure and Barring Service (DBS) is important where research involves working with vulnerable groups such as children or elderly people.

In most cases, the research activity will fall within the terms of existing University insurances because it is similar in type and scale to that reported previously as part of the renewal process. However, should your research activity fall into the categories below, it must be reported directly to the University Insurance Officer.

- Controlled Drugs,
- Children under 5,
- Pregnant women,
- Cohorts of more than 1,500 respondents or participants,
- Fertility research,
- Vulnerable adults and/or vulnerable young people/ children,
- Work overseas,
- Genetic engineering,
- HIV/ AIDS, CJD or hepatitis,
- Clinically invasive procedures (excluding the insertion of needles for the purpose of taking blood samples only; the measurement of physiological processes using non-invasive methods; the collection of body secretions and excretions by non-invasive methods for analysis; questionnaire and interview only studies; the use of already-held or routinely collected tissue samples which would otherwise be disposed of),

Travel

Colleagues who travel abroad on University business are reminded that travel insurance must be arranged before departing the UK.

We are required to inform our insurance company of all international as well as travel that is outside of mainland Great Britain, including to the Isle of Man, Northern Ireland and the Channel Islands.

Cover is not automatic; you must inform the Insurance Officer of your intended trip or you will not be covered by the University's Travel Policy. Please complete an 'approval to travel' form that can be found **here.**

Please note that staff who do not submit a form to the Insurance Officer will not be covered by the University's travel policy. An 'approval to travel' form should be submitted at least seven working days prior to departure. Travel insurance documents will be sent by email at least two days prior to departure, provided an 'approval to travel' form has been submitted within the appropriate time. You must advise the Insurance Officer should the dates of your travel subsequently change from those originally provided.

For more information regarding insurance and travel and to access the 'approval to travel' form please visit the Edge Hill University Insurance pages.

You may also require vaccinations prior to travelling and researchers are advised to check in advance. Please visit the Occupational Health travel page for more information.

Key to relevant documents

This document is informed by a number of key guidance documents, links for which can be found below:

Introduction

- Code of practice for the conduct of research
- Edge Hill University's Health and safety policy.
- IOSH Responsible research guidance
- Health and Safety at Work Act 2004

Induction and training

- HSE Health & safety training – A brief guide
- HSE What is competence?
- Annual statistics for workplace fatal injuries in Great Britain (2018)
- Human Resources Wiki page
- LinkedIn Learning

Risk assessments and the control of substances hazardous to health (COSHH)

- HSE COSHH Basics
- HSE Working with substances hazardous to health
- HSE Manual Handling
- Health, Safety & Environment Wiki
- Procedure on the Management of Needlestick and Sharps Injuries and Incidents involving Human Blood or Other Bodily Fluids Exposure
- Health Surveillance
- Edge Hill University Research Risk Assessment
- Edge Hill University Human Tissue Guidance
- Edge Hill University Human Tissue Quality Manual

- GMO Wiki
- Human Resources Wiki page
- UK Government Medicines for Human Use (Clinical Trials) Regulations (2004)
- European Commission Directive 2001/20/EC & Regulation No 536/2014

Research settings

NHS

- Research Passport

Laboratory

- Approved List of Biological Agents
- The Genetically Modified Organism (Contained Use) Regulations 2004
- Control of Substance Hazardous To Health Regulations 2002 (COSHH)
- Dangerous Substances and Explosive Atmospheres Regulations 2002 (DSEAR)
- The Human Tissue AuthorityHSE guidance publication
- British Compressed Gas Association
- Management and Operation of Microbiological Containment Laboratories
- The safe use and handling of flammable liquids (HSG140)
- OCM8 information sheet
- Edge Hill University Procedure for work with compressed gases

Office/ computer-based research

- HSE Working with Display Screen Equipment (DSE).

Working from home

- HSE Working from Home publication.

Fieldwork

- Lone Working Procedure
- HSE guidance for working alone

Research in another country

- Human resources – Travel health
- British Foreign Commonwealth Office - travel advice
- Regulations: The Nagoya Protocol on access and benefit sharing (ABS)

Research involving high risk and vulnerable populations

- Children and young people
- vulnerable adults
- University students
- Safeguarding Policy
- EHU research governance webpages.

Accident/near miss reporting

- Reporting of accidents, near misses and dangerous occurrences Policy
- Accident reporting scheme
- Incidents reportable under RIDDOR

First aid/emergency procedures

- HSE leaflet First Aid at Work
- HSE Emergency procedures
- Devising a Personal Emergency Evacuation Plan (PEEP) Guidance document
- Fire Safety Policy

Insurance

- EHU Insurance
- Occupational Health travel page

Annexes

Appendix 1 – Definitions

Principal Investigator
An individual who is the leader of a research group and who is responsible for the conduct of research and the direct oversight of all health and safety aspects of the particular research project. All lone researchers are Principal investigators and assume all responsibilities identified above. **Terminology used to describe the Principal investigator** Various terms are used to describe the Principal Investigator (PI) in a research project, with different implied responsibilities. The following are some common terms. **Supervisor** Supervisor refers to the member of staff with given responsibility for the management of a student's research. For taught courses, this will usually be the student research supervisor (who has ultimate responsibility for the management of the research conduct of the student), although the module or programme leader also has a role to play in setting the framework for the module. For MPhil/MRes/PhD students, the Director of Studies has overall responsibility, but other named supervisors will also play a role. As students are in a training position, it is the responsibility of the student research supervisor to ensure that students are given effective training, support and monitoring to assure good research practice. **Lead Investigator / Researcher** This term is often used by funding bodies, and this person will be the first named applicant on a research application and will be expected to take overall responsibility for the research. This term is also used, in a different way, by the Department of Health Research Governance Framework to describe the person responsible for a research project at a given site. **Chief investigator:** This is the term used by the Department of Health Research Governance Framework to describe the person with overall responsibility for a research project. In multi-site projects, there may also be Principal Investigators at individual sites. This would not normally be a student. **Director of studies (DOS):** A member of staff at an educational institution who has responsibility for overseeing the curriculum or for overseeing an individual student's course of study.
Researchers
'Researchers' are defined as any person who conducts research, including but not limited to: an employee; an independent contractor or consultant; a research student; a visiting or emeritus member of staff; or a member of staff on a joint clinical or honorary contract.
Students
Students, for the purposes of this document, are all students conducting research, including undergraduate, masters and postgraduate level. Students are 'researchers' when conducting research, unless specifically stated otherwise, and this includes research projects as part of taught courses, or research conducted as part of a placement.

Appendix 2 – Document Control

Version	Date	Change Author	Summary of Changes
V1.0	June 2019	Biological Safety Officer	Procedure created.
V2.0	August 2019	Operational Risk & Environment Assistant	Minor Revision – Student Occupational Health provider details updated in contacts list (Section 8).
Inst H&S 12 V3.0	July 2020	Health & Safety Manager, Director of Research Office, Biological Safety Officer, Insurance Officer.	Major Review – updated roles and responsibilities, updated document links, clarity on wording.
Inst H&S 12 V3.1	December 2020	Operational Risk & Environment Assistant	Occupational Health provider (staff) updated. Links to Health, Safety & Environment Wiki updated.
Inst H&S 12 V4.0	July 2022	Biological Safety Officer	• A full glossary of terms has been added to the procedure. • Under the 'Operational Governance' and 'Organisational Structure' paragraphs, any reference to the 'Research Committee' has now been amended to the 'Research and Innovation Committee'. • The Principal Investigator (PI) role has been expanded to included 'ensuring all relevant licences are in place'. • The paragraph headed 'Inexperienced staff and students' this now specifies that direct supervision of trainee researchers must be by a PI or delegated competent person. • The paragraph in relation to 'Laboratory Research' has been amended. The classification of laboratories has been expanded

			to included 'the planned activities with biological agents. It now refers to the assignment of an agent to a Hazard Group for laboratory work based on the approved list of biological agents and it now makes reference to a Hazard Group rather than Risk Group. It also states that EHU has Class I (CL1) and Class II (CL2) containment facilities. • The contact table now includes details for the Biological Safety Officer. • The 'Professional Indemnity 'section under the list of research activity were by the University Insurance Officer needs to be informed has been amended with the following changes; 'Drugs' has been amended to 'Controlled Drugs', 'Clinically Invasive 'has been added to the categories, 'Staff working on projects of more than 1500 respondents or participants' has been removed as it is a duplication. • The section 'Key to Relevant Documentation' under the heading 'Laboratory' the list of supporting documentation' has been extended. • Appendix 1 Definition has been amended under the heading 'Supervisor' this now makes reference to HRes.

Endmatter

Title	Health and Safety in Research Procedure
Version	Inst H&S 12 V4.0
Policy Owner	Pro Vice-Chancellor - Research
Approved by	Institutional Health, Safety & Environment Committee
Date of Approval	July 2022
Date for Review	July 2024