

## UKRI Health and Safety Policy

### Foreword

*"In order that UKRI can perform as an outstanding organisation it is essential that we maintain the highest level of health and safety for UKRI staff and all those who work with us."*

Professor Sir Mark Walport, Chief Executive Officer

UK Research and Innovation (UKRI) is fully committed to providing and maintaining a healthy and safe working environment for employees, students, visitors, contractors or any other person who is affected by our activities.

The successful implementation of this policy requires the visible leadership of UKRI Senior Management, and the co-operation and commitment of everyone within UKRI and that of our partners and contractors.

UKRI H&S management is integral to and aligned with the line management and supervision of staff and those working on UKRI sites.

To achieve this UKRI will establish a robust Health and Safety (H&S) management system that:

- Delivers as a minimum compliance with relevant regulatory requirements and legislation;
- Ensures that H&S roles and responsibilities are clearly defined and understood;
- Establishes documented policies, procedures and guidance, subject to regular review and improvement, to implement the H&S management system;
- Ensures that staff, and others affected by the activities of the UKRI, understand the policies, procedures and guidance and are consulted on H&S matters;
- Identifies hazards associated with activities undertaken and ensures that the risks are minimised as far as reasonably practicable, and where significant these risk assessments will be recorded;
- Ensures that all staff, and those working on UKRI sites, have the competence to undertake their roles safely;
- UKRI provides and maintains a safe working environment, including materials, plant and work equipment for staff and others working on UKRI sites;
- Ensures that staff and those working on UKRI sites have access to competent advice and assistance from H&S professionals;
- Ensure staff and others working on UKRI sites are able to report H&S issues to management and have them resolved effectively; and
- UKRI H&S performance is regularly monitored and reviewed and subject to regular audit to provide assurance and drive continuous improvement in performance.



Professor Sir Mark Walport, Chief Executive Officer  
United Kingdom Research & Innovation, April 2018

## **Overview**

This policy applies to the constituent parts of UKRI:

- Arts and Humanities Research Council (AHRC);
- Biotechnology and Biological Sciences Research Council (BBSRC);
- Economic and Social Research Council (ESRC);
- Engineering and Physical Sciences Research Council (EPSRC);
- Innovate UK (Innovate UK);
- Medical Research Council (MRC);
- Natural Environment Research Council (NERC);
- Research England (RE);
- Science and Technologies Facilities Council (STFC); and
- the UKRI Corporate Directorates.

their staff and those working on UKRI sites.

UKRI's duty of care for the H&S of its employees includes responsibility for staff whilst travelling on UKRI business and working at non-UKRI sites in the UK and overseas. At such sites UKRI staff are expected to comply with the site's local procedures with respect to H&S. In such circumstances UKRI management maintain a responsibility to ensure that the procedures followed afford equivalent protection of individual H&S, and that, so far as reasonably practicable, staff are not placed at greater risk by working at non-UKRI sites compared with similar work at a UKRI site. Where UKRI staff and units are located as tenants within host organisations the UKRI will co-operate fully with the host organisation on all H&S matters.

UKRI accepts its responsibility for the H&S of others who may be affected by its undertakings such as visitors to its sites (including facility users from other organisations), contractors, tenants and joint venture companies on its sites, and the general public.

Where the UKRI is a shareholder, or has status equivalent to a shareholder, in non-UKRI facilities or sites, in the UK or overseas, UKRI shall endeavour to ensure that such facilities are operated to contemporary legal requirements and or UKRI standards, whichever are more rigorous, subject to its shareholding influence.

## **Roles and Responsibilities**

### **UKRI Board, Chief Executive Officer and Executive Committee**

The UKRI Board is ultimately accountable and responsible for the effective management and oversight of H&S within UKRI and others who may be directly affected by UKRI activities.

The UKRI CEO exercises this responsibility on the UKRI Board's behalf and has statutory and common law accountability for UKRI compliance with legislation, environmental and other regulatory Permits etc. and for resolving any conflict which may arise between the demands of H&S and the demands of UKRI operations. The CEO is ultimately responsible for ensuring the provision of sufficient and competent resource to implement this H&S policy.

The UKRI CEO delegates responsibility for H&S through the line management chain to the Executive Chairs (ECs) and Corporate Directors. ECs and UKRI Corporate Directors shall ensure that arrangements to fulfil this responsibility are established, operated effectively, monitored and reviewed, and continuously improved in the light of experience and external best practice.

The UKRI CEO manages UKRI through the Executive Committee, within which the Chief Financial Officer (Deputy UKRI CEO) takes the lead on H&S matters.

## **UKRI Chief Finance Officer (Deputy UKRI CEO)**

As the UKRI Executive Committee lead on H&S matters the Chief Finance Officer shall:

- Act as a point of focus for the Executive Committee on H&S matters, ensuring that H&S is considered in all Executive Committee decisions;
- Ensure that the UKRI H&S Management Committee is established, see appendix 1 for its Terms of Reference (ToR), and fulfils its responsibilities effectively;
- Ensure that the UKRI H&S Advisors Committee is established, see appendix 2 for its ToR, and fulfils its responsibilities effectively;
- Ensure that the UKRI H&S Consultation Committee is established, see appendix 3 for its ToR, and fulfils its responsibilities effectively;
- Ensure that this H&S policy and UKRI H&S performance are regularly reviewed at Executive Committee;
- Ensure that the UKRI H&S Management Committee reviews UKRI H&S performance and establishes goals to drive improvement in UKRI H&S management; and
- Ensure that the UKRI H&S Management Committee provides assurance to the Executive Committee with regard to H&S management across UKRI

## **Executive Chairs and Corporate Directors**

Executive Chairs and Corporate Directors for their Councils and Corporate Directorates shall:

- Establish and operate appropriate arrangements for the implementation of this H&S policy to manage H&S;
- Demonstrate visible and active leadership of H&S management evidenced by 'what they say' and 'what they do';
- Establish, or collaborate with other Councils and Corporate Directorates to establish, a H&S Committee, in particular where staff are co-located and share common H&S hazards;
- Establish high standards of H&S performance and improvement objectives for H&S management cascading their delivery through senior management, Directors, Centre and Laboratory Directors etc., as one element in their Performance Appraisal;
- Monitor the H&S performance of their Council or Corporate Directorate; and
- Ensure that adequate resources (time, money and people) are made available to implement this H&S policy.

## **Managers**

Managers, including: Executive Chairs; Corporate Directors; Centre Directors; Laboratory Directors; Division Heads; Group leaders; and Project Managers, are directly responsible for the H&S of the staff within their control and for the H&S of others that may be affected by their activities.

The principal H&S responsibilities for managers, cascaded throughout the line management chain, are:

- Establishing a positive H&S culture demonstrating their personal commitment to H&S issues evidenced by 'what they say' and 'what they do';
- Implementing the H&S standards and controls documented in relevant UKRI, Council or Corporate Directorate H&S Management Systems encompassing legislative requirements and approved codes of practice, etc.;

- Providing adequate supervision to control work and the working environment to maintain safe and healthy work standards for staff and others working at UKRI sites, for example students, facility users and contractors;
- Identifying and controlling hazards in their work areas using risk assessment and as appropriate implementing safe systems of work, communicating the results of such assessments to those affected;
- Ensuring that staff are competent through the provision of training, skills and experience, and in attitude and behaviour to carry out their work in a safe manner, and that they know the limits of their competence;
- Ensuring that premises and equipment are adequately maintained, including arrangements for their safe evacuation in the event of a fire or emergency, and that staff and others working on UKRI sites have access to appropriate Personal Protective Equipment (PPE);
- Encouraging the reporting of all injuries and learning opportunities (near misses, hazardous conditions, and failures of safe systems of work) and thereafter investigate those under their area of responsibility to determine root cause(s), and identify and introduce measures to minimise the likelihood of an incident's recurrence;
- Actively involve and consult staff, and others working on UKRI sites, to improve H&S arrangements and performance, sharing the lessons learnt with others in STFC; and
- Ensuring routine monitoring of all H&S management activities through inspection and audit, and monitoring H&S performance.

## **Staff**

Recognising that we ALL have a legal responsibility to act in a safe manner and not through our acts or omissions endanger the H&S of others, the principal H&S responsibilities for staff are to:

- Work safely at all times, implementing controls established in risk assessment of the activities they undertake, wherever possible refraining from undertaking unsafe action, and preventing the unsafe actions of others;
- Implement the relevant UKRI, Council or Corporate Directorate H&S management system following all relevant instructions, procedures, codes, guidelines etc. and its associated training and periodic refresh;
- Use PPE and other protection equipment provided for any activity in the proper manner;
- Report to their immediate line manager, and H&S Advisors, promptly all H&S incidents (injuries; and learning opportunities), and any other matter likely to affect their H&S or the H&S of others;
- Assist in the investigation of H&S incidents contributing to the identification and introduction of measures to minimise the likelihood of their recurrence;
- Attend Health Surveillance medicals where required by risk assessment; and
- Co-operate and assist management in undertaking risk assessments and continuously improve H&S standards and performance.

## **H&S Advisors**

Each Council and Corporate Directorate shall employ sufficient competent H&S advisors to provide advice specific to the hazard profile of the operations they undertake.

The scope of UKRI scientific endeavour is extremely broad from operating in the Antarctic or remote international fieldwork to facilities deep underground or on mountain summits, from operating from ships and aircraft to managing ionising radiation, chemical, animal and biosafety operations. Councils or Corporate Directorates may choose to share such advisors where they are co-located, face common H&S hazards or the specialist nature of hazard expertise warrants shared resourcing.

Council and Corporate Directorate H&S advisors are responsible for ensuring that there is a coherent and documented H&S Management System that meets all relevant legislative requirements and for providing advice and support to line managers in discharging their responsibilities within their H&S management systems.

H&S Advisors are responsible for reporting Council and Corporate Directorate H&S performance to their respective Council and Corporate Directorate management teams and their H&S Committees.

Council and Corporate Directorate H&S advisors have direct access to their respective Executive Chair or Corporate Directors should this be required for any reason.

Council and Corporate Directorate H&S advisors meet collectively through the UKRI H&S Advisors Committee, a sub-committee of the UKRI H&S Management Committee, see appendix 2 for its ToR.

The UKRI H&S Co-ordinator acts as focus for collecting Council and Corporate Directorate H&S performance and reports, generating UKRI Corporate reports for the UKRI Executive Committee and H&S Committee for whom they act as secretary and ensuring links to the UK the Audit, Risk, Assurance and Performance Committee (ARAPC) and governance programmes.

## **Arrangements**

This H&S policy is implemented through documented controlled H&S management systems by UKRI, Council or Corporate Directorates which are respectively approved by UKRI CEO (or UKRI Executive Committee H&S lead), Executive Chairs or Corporate Directors advised by their respective H&S Committees. Documented H&S Management systems are maintained by respective H&S advisors on behalf of the UKRI, Council or Corporate Directorates. Councils or Corporate Directorates may choose to adopt common documented H&S management systems where they are co-located and face common H&S hazards.

In addition to formal documented H&S management systems management across UKRI may document operating instructions specific to particular equipment or facilities describing required operational controls and which embody and implement the relevant controls described by H&S management systems. In such circumstances local management are responsible for documenting and maintaining such systems in the light of changes to Council or Corporate Directorate H&S management systems.

## **Employee Consultation**

Trade Union safety representatives, and Representatives of Employee Safety (RoES) where appointed, have a key role in UKRI H&S culture and have consultative rights on H&S matters, including but not limited to: representing employees in discussions on H&S; considering and make recommendations for improvements in H&S management; investigating H&S incidents and dangerous occurrences; and carrying out inspections.

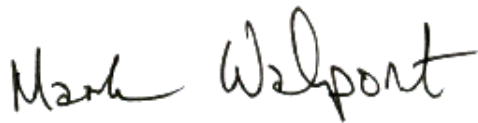
Employee consultation through Trade Union safety representatives and RoES is actively encouraged at all levels, H&S committees, H&S inspections and across all constituent parts of UKRI in an open and transparent manner.

The UKRI H&S Consultation Committee, reporting to the UKRI H&S Management Committee, fulfils the responsibility for staff consultation as described in the Safety Representatives and Safety Committees Regulations, 1977, as amended, and H&S (Consultation with Employees) Regulations 1996, as amended, for the UKRI as a whole, see appendix 3 for its ToR.

## H&S Policy Review

This policy, in whose development Trade Union safety representatives were consulted, is subject to review and re-affirmation annually by the UKRI CEO and Executive Committee, UKRI H&S Management Committee, UKRI H&S Consultation Committee or more frequently as determined by organisational change, legislation or other significant factors. This policy is communicated to all staff and available to staff through the UKRI website.

As a new organisation established on the 1<sup>st</sup> April 2018 UKRI has brought together the H&S management systems of 9 formerly independent organisations. This policy has been established to consolidate these management systems and will be developed to further integrate these within a UKRI management system.

A handwritten signature in black ink that reads "Mark Walport". The signature is fluid and cursive, with the first name "Mark" and the last name "Walport" clearly distinguishable.

Professor Sir Mark Walport, Chief Executive Officer  
United Kingdom Research & Innovation, April 2018

## **Appendix 1: UKRI Health and Safety Management Committee Terms of Reference**

### **Purpose**

Reporting to the UKRI Chief Executive Officer, and Executive Committee, the UKRI Health and Safety (H&S) Committee is responsible for monitoring the capability and performance of UKRI H&S Management systems in fulfilling the aims set out in this H&S policy and the arrangements established in UKRI, and Councils and Corporate Directorates, with the objective of regulatory compliance and establishing continuous improvement in H&S performance.

### **Responsibilities**

The committee shall:

- To monitor the capability and performance of the UKRI H&S Management Systems across Councils and Corporate Directorates in fulfilling the aims set out in this H&S Policy and its objective of continuous improvement in H&S performance;
- Review the continuing suitability of the UKRI H&S policy and recommend such changes to the UKRI CEO and Executive Committee for approval and communication to UKRI staff;
- When established, approve all changes to the UKRI H&S arrangements on behalf of the UKRI CEO, including amendments to, and withdrawal of existing or launch of new arrangements;
- Review at least annually, the UKRI H&S input and output performance metrics;
- Commission, approve and review the findings of a rolling programme of internal H&S audits across UKRI as a basis for providing assurance on H&S matters, to the UKRI CEO and Executive Committee, and ensuring that sufficient resources are made available for their efficient, effective and timely completion. The audit programme may build upon existing Council and Corporate Directorate audit programmes;
- Review quarterly H&S reports to the CEO and Executive Committee, Audit, Risk, Assurance and Performance Committee (ARAPC), and UKRI Board.
- Reviewing and approving H&S submissions to the UKRI Corporate Risk Register;
- Recommend to the UKRI CEO and Executive Committee annual UKRI H&S improvement objectives;
- To consider and review the H&S culture of the UKRI ensuring it is developed consistent with the aims set out in this policy and continuous improvement in H&S performance; and
- Review annually the effectiveness and membership of the:
  - UKRI H&S Management Committee in fulfilling responsibilities set out in this Terms of Reference (ToR);
  - UKRI H&S Advisors Committee in fulfilling responsibilities set out in its ToR, see appendix 2; and
  - UKRI H&S Consultation Committee in fulfilling responsibilities set out in its ToR, see appendix 3.

Changes to the ToR of these committees, part of this UKRI H&S policy, should be recommended by the UKRI H&S Management Committee and approved by the UKRI CEO and Executive Committee.

## Membership and operation

The H&S Committee will be chaired by the Executive Committee lead on H&S matters, or their nominee, or as agreed by the UKRI CEO. The Committee should establish a Deputy chair.

Members:

- Chair;
- Management representatives from each Council and Corporate Directorate (where relevant Councils or Corporate Directorates may wish to agree common representation agreed by the Chair); and
- Chair of the UKRI H&S Advisors Committee and H&S advisors for those Councils with significant H&S hazards, currently MRC, NERC and STFC.

A minimum of a 51% is required for the quorum which is to include the Chair (or Deputy Chair).

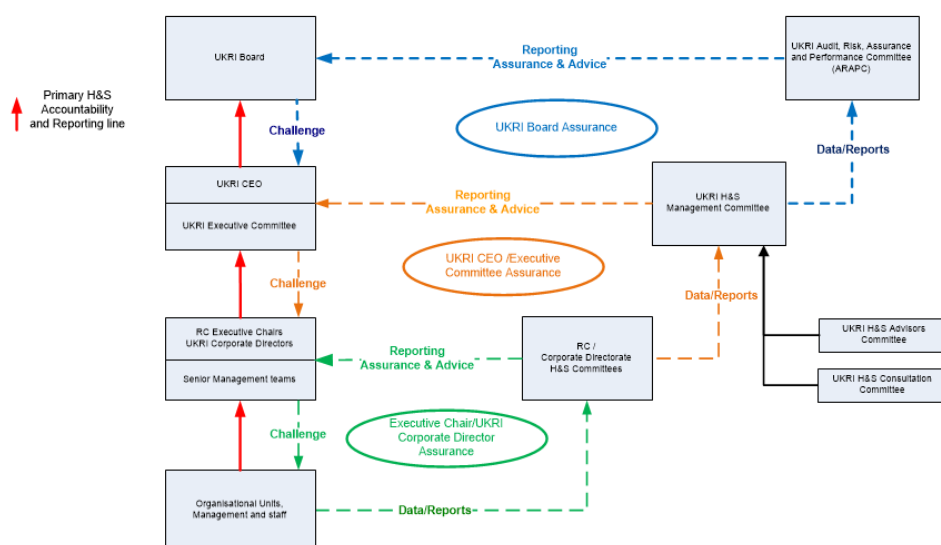
Input from Council and Corporate Directorate H&S advisors or other specialist advisors may be sought by the committee as determined by the committee's agenda.

Only members of the committee and those invited have the right to attend committee meetings. Attendance should include non-voting secretariat support.

Members of the Committee will be appointed by the Executive Committee lead on H&S matters, or their nominee, or as agreed by the UKRI CEO. Members to ensure deputised attendance when not available.

The committee should meet initially at least once per quarter as UKRI H&S management systems are consolidated and established. The Chair can convene ad-hoc meetings as necessary.

In meeting these responsibilities, the H&S Committee will approach its work in a way which reflects and champions the values of UKRI.





## **Appendix 2: UKRI H&S Advisors Committee Terms of Reference**

### **Purpose**

Reporting to the UKRI H&S Management Committee the H&S Advisors Committee is responsible for advising on the development of all aspects of the UKRI H&S management system and its performance.

### **Responsibilities**

The committee shall support the UKRI H&S Management Committee by:

- identifying concerns or opportunities with regard to UKRI H&S management policy and arrangements, recommending solutions for common strategies and practices in UKRI H&S management;
- providing advice with regard to developing and reporting H&S performance indicators;
- advising, and as appropriate leading, on the design and implementation of UKRI wide Corporate H&S activities, for example establishment of UKRI arrangements for implementing this policy, establishing UKRI H&S IT systems and reporting;
- recommending corporate H&S improvement objectives;
- monitoring the capability and performance of the UKRI H&S Management System; and
- recommending routes to develop UKRI H&S culture consistent with the aims set out in this policy and continuous improvement in H&S performance.

Fulfil the requirement for a specialist professional network supporting Council and Corporate Directorate H&S advisors by:

- promoting and sharing best practice in H&S management across UKRI;
- sharing experience in H&S regulatory engagement across UKRI; and
- sharing learning from H&S incidents across UKRI.

### **Membership and operation**

The UKRI H&S Advisors Committee will be chaired by a member elected and rotated on an annual basis between members. The Committee should establish a Deputy chair.

Members:

- Chair; and
- Lead H&S advisors or those with responsibility for H&S in UKRI and all Councils and Corporate Directorates (where relevant Councils or Corporate Directorates may wish to agree common representation agreed by the Chair).

A minimum of a 51% is required for the quorum which is to include the Chair (or Deputy Chair).

Input from other Council and Corporate Directorate H&S advisors or other specialist advisors may be sought by the committee as determined by the committee's agenda.

Only members of the committee and those invited have the right to attend committee meetings. Attendance should include non-voting secretariat support.

The chair of the UKRI H&S Management Committee will seek nominations for committee members. Members to ensure deputised attendance when not available.

The committee should meet initially at least once per quarter as UKRI H&S management systems are consolidated and established. The Chair can convene ad-hoc meetings as necessary. This ToR should be reviewed by the committee annually.

In meeting its responsibilities, the H&S Advisors Committee will approach its work in a way which reflects and champions the values of UKRI.

## **Appendix 3: UKRI H&S Consultation Committee Terms of Reference**

### **Purpose**

Reporting to the UKRI H&S Management Committee the H&S Consultation Committee's purpose is to support open and constructive engagement between UKRI management, staff and their representatives in the successful management of H&S.

This Committee fulfils the responsibility for staff consultation as described in the Safety Representatives and Safety Committees Regulations, 1977, as amended, and H&S (Consultation with Employees) Regulations 1996, as amended, for the UKRI as a whole.

### **Responsibilities**

The Committee shall:

- receive and consider reports from the UKRI H&S Management Committee including but not limited to: UKRI H&S audit reports; UKRI H&S performance reports etc.
- through their engagement with their TU membership and staff in general raise issues or concerns with regard to the UKRI H&S management and make recommendations for remedial action if required;
- review the adequacy of safety training, supervision, and the supply of information to staff and others working on UKRI sites; and
- consider and as appropriate provide comment on proposed changes to or new UKRI H&S policies, procedures and guidance.

### **Membership and operation**

The H&S Consultation Committee will be chaired by the Executive Committee lead on H&S matters, or their nominee, or as agreed by the UKRI CEO. The Committee should establish a Deputy Chair.

Members:

- Chair;
- Management representatives from each Council and Corporate Directorate (where relevant Councils or Corporate Directorates may wish to agree common representation agreed by the Chair);
- H&S representatives from Trade Union (TU) bodies and as appropriate Representatives of Employee Safety (RoES); and
- At least two non-voting Council or Corporate Directorate H&S advisors.

The balance of the committee should broadly reflect a 50:50 split of management and non-management representatives. A minimum 51% attendance is required for the quorum which is to include the Chair (or Deputy Chair).

Across UKRI there are extant agreements that established TU Safety Representatives may represent the views of all staff.

Input from UKRI, Council and Corporate Directorate H&S advisors or other specialist advisors may be sought by the committee as determined by the committee's agenda.

Only members of the Committee and those invited have the right to attend Committee meetings. Members should aim to ensure for a deputy to attend when they are unavailable for a Committee meeting. Attendance should include secretariat support.

Non TU membership of the committee will be agreed by the Chair of the UKRI H&S Management Committee.

The Committee should meet at least twice per year. The Chair can convene ad-hoc meetings as necessary. This ToR should be reviewed by the Committee annually.

In meeting its responsibilities the UKRI H&S Consultation Committee will approach its work in a way which reflects and champions the values of UKRI.