



UKRI CEO HEALTH AND SAFETY POLICY STATEMENT

“UKRI – Committed to safe research and innovation”

“To enable United Kingdom Research and Innovation (UKRI) to perform as an outstanding organisation I require that we maintain the highest levels of Health, Safety and Welfare for our staff and all who work with us”

Professor Dame Ottoline Leyser, Chief Executive Officer

1. As Chief Executive Officer (CEO) I make the following policy statement for Health and Safety (H&S) in UKRI as I am accountable to the Board on these matters and exercise responsibility on the Board’s behalf for meeting the requirements of legislation. In doing this, I emphasise the importance that I attach to the health, safety and welfare of all those who deliver UKRI activities and outputs, be they employees, contractors, tenants, facility users or others to whom we owe a duty of care, and those who may be affected by our activities. This policy statement is a commitment of my personal leadership in this area. It is to be applied throughout the organisation. To achieve this, I make clear in my letter of delegation to Council Executive Chairs and their Operational Leadership Team (OLT) equivalents, via the UKRI Delegations Framework, that responsibility for H&S, as is set out in this policy, cascades down the line management chain.

General Duties

2. I require that:

- Within the United Kingdom we comply with applicable safety legislation;
- In our overseas activities, as a minimum, we apply UK standards and arrangements where reasonably practicable or the host nation’s standards where they at least meet or exceed those adhered to in the UK;
- We implement a comprehensive and effective safety management system that:
 - Prevents, so far as is reasonably practicable, workplace accidents and minimises injuries and cases of work-related ill health via the identification of workplace hazards, assessment of the risks they pose, and the implementation of control measures identified as a result;
 - Ensures employees and contracted workers are suitably trained, skilled, experienced, knowledgeable and supervised to do their work without risk to their H&S and that of others;
 - Allows us to maintain safe and healthy working conditions, provide and maintain safe plant, equipment and machinery and ensure safe storage / use of substances; and
 - Ensures we can react safely to emergencies.
- We engage and consult with employees on H&S matters;
- Those of us in positions of management, from the Executive Committee (ExCo) downwards throughout the organisation, lead by visible example on H&S by giving it the priority it deserves and maintain a climate that promotes a safety culture where all are empowered to contribute to H&S objectives;
- We take reasonable care of our own H&S and that of others who may be affected by our acts or omissions at work and that we cooperate with all arrangements in place to enable us to discharge the duties placed upon us on our sites and non UKRI sites where staff work; and
- We seek to achieve continuous improvement in our H&S arrangements and performance.

Professor Dame Ottoline Leyser, Chief Executive Officer

United Kingdom Research and Innovation October 2023

ORGANISATION

Scope

3. This policy applies to all constituent parts of UKRI (councils, centres, laboratories and institutes) their staff and those working on UKRI sites i.e.:
 - Arts and Humanities Research Council (AHRC);
 - Biotechnology and Biotechnical Sciences Research Council (BBSRC);
 - Economic and Social Research Council (ESRC);
 - Engineering and Physical Sciences Research Council (EPSRC);
 - Innovate UK (IUK);
 - Medical Research Council (MRC);
 - Natural Environment Research Council (NERC);
 - Research England (RE);
 - Science and Technology Facilities Council (STFC);
 - Pan UKRI services and International offices.

Duty of Care

4. As an employer, UKRI owes a legal duty of care to our staff for their health, safety and welfare wherever they work (including duty travel), and to others who may be affected by our undertaking. To discharge this duty of care, everyone needs to be aware of, understand and comply with their responsibilities under the law and the expectations of the CEO, as set out in this policy statement and reflected in H&S codes and local arrangements. Others including contractors, tenants, facility users, and visitors who use our estate are also required to cooperate with us on H&S matters.
5. Where UKRI personnel work on or attend other's sites we will cooperate with the host organisation's H&S arrangements.
6. Where UKRI is a shareholder, or has equivalent status, in non-UKRI facilities or sites in the UK or overseas, we will endeavour to ensure that such facilities are operated to local or UK standards, whichever is more stringent; subject to our shareholding influence.

Roles and Responsibilities

All Staff

7. UKRI is maintained as a safe organisation by everyone who works for us working safely whilst they are at work. We achieve this by everyone behaving in accordance with fundamental H&S obligations:
 - Taking reasonable care of your H&S and that of others who may be affected by what you do or do not do;
 - Cooperating with UKRI and local H&S management requirements;
 - Not misusing any equipment that is provided for safety purposes (e.g. fire extinguishers, safety interlocks, or personal protective equipment);
 - Following H&S instructions and completing the H&S training required of you;

- Reporting all H&S related injuries, near misses, hazardous conditions or defects or other incidents that you encounter while working on UKRI or non UKRI site or when travelling for work.;

Chief Executive Officer

8. The CEO exercises responsibility, on behalf of the UKRI Board, for meeting the UKRI's legal H&S obligations and for resolving any conflict that may arise between the demands of H&S requirements and the demands of UKRI operations. The CEO is ultimately responsible for ensuring the provision of competent and sufficient resource to implement this policy.
9. The CEO delegates authority for H&S management across UKRI, via the Management Chain to individual Council's Executive Chairs (ECs) and their OLT equivalents¹ who have the responsibility to establish suitable, sufficient and proportionate arrangements, including sufficient access to competent advice, to discharge this UKRI H&S policy for their area of authority.
10. The CEO manages UKRI through the Executive Committee (ExCo) with the Chief Financial Officer (CFO) being the lead and focus for H&S matters on this Committee. To support development (and management) of H&S matters within UKRI the CFO has appointed a UKRI Safety Health and Environment Lead (SHE Lead).

Chief Financial Officer

11. In their role as the ExCo lead for H&S matters, the CFO shall:
 - Act as the point of focus for ExCo consideration of H&S matters and ensure H&S implications of ExCo decisions are given due consideration;
 - Ensure that an effective UKRI H&S committee structure is established, reporting to ExCo, that ensures the formulation of UKRI wide H&S policy and arrangements and strategic direction on H&S matters;
 - Ensure, via the effective operation of the H&S committee structure that:
 - This H&S policy is regularly reviewed;
 - Goals to drive improvement in UKRI H&S performance are established;
 - Consultation on UKRI H&S matters is in place;
 - UKRI H&S performance is regularly reviewed;
 - Assurance on the effectiveness of H&S management is provided to both the ExCo and the Audit, Risk Assurance Committee (ARAC).

12. The CFO may delegate these responsibilities when required.

Executive Chairs and their Operational Leadership Team (OLT) equivalents

13. Executive Chairs of Councils and their OLT equivalents¹ shall:
 - Put in place and operate proportionate arrangements, including access to competent H&S advice, to implement UKRI H&S policy within their respective area of responsibility;
 - Deliver H&S management via the management chain, this to include H&S performance as one element of performance appraisal;
 - Demonstrate their visible and active leadership of H&S reflecting this both in "what they say" and "what they do" to drive improvement to safety culture;

¹ UKRI Chief Finance Officer, Chief People Officer, Strategy Group Directors and Chief Operating Officer

- Establish a Health and Safety Consultation Committee, or similar forum, for their area of responsibility to assist in the formulation of and consultation on H&S management arrangements, improvement objectives and review of H&S performance;
- Receive and, where needed, act on H&S performance information including the outcomes of audits and incident investigation reports;
- Ensure adequate resources (time, money and people) are provided to implement UKRI H&S policy;
- Cooperate with others on H&S matters, particularly where they are located on others' sites, and with the UKRI SHE Lead.

Managers

14. Managers, regardless of level, are under the duty of care for the health safety and welfare of the staff within their control and for that of others who may be affected by their activities.
15. The principal H&S responsibilities for managers, in line with the responsibilities placed upon Executive Chairs and their OLT equivalents are to:
- Implement the H&S standards and controls set out in UKRI, Council or OLT H&S management systems, ensuring adequate monitoring of H&S performance;
 - Identify hazards inherent to their operations, assess the risks these pose to the H&S of their staff and others, identify and implement suitable control measures, communicating the outcome of the assessment to those who are affected, seeking competent advice as needed;
 - Ensure their staff are competent via the provision of suitable information, instruction and training and experience to undertake their tasks;
 - Ensure any premises, plant and equipment under their control are safe and adequately maintained, including the arrangements for safe evacuation in the event of a fire or other emergency;
 - Provide adequate supervision of work and the workplace to ensure that H&S standards are maintained for staff and others working on UKRI sites;
 - Encourage reporting of all injuries and incidents and ensure any incidents under their authority are investigated by line managers, drawing on competent advice as necessary, to determine immediate and root causes and act on investigation findings to minimise the likelihood of recurrence;
 - Consult staff, safety representatives and others working under their authority on H&S matters to enable improvement to arrangements and performance and share lessons identified across UKRI;
 - Demonstrate their commitment to the health, safety and welfare of those under their authority and others affected by their activities and thus promote a positive safety culture.

UKRI Safety, Health and Environment (SHE) Lead

16. CFO has appointed a UKRI SHE Lead as the professional lead on H&S matters across the organisation who will:
- Formulate and propose UKRI H&S strategy, policy and arrangements that constitute the UKRI H&S Management System with operational science councils and office estate H&S Leads;
 - Provide competent H&S advice and guidance both corporately and wherever needed within the organisation;

- Manage any UKRI Corporate H&S Risk Register and reviewing this to maintain corporate awareness of H&S risks across the organisation;
- Work across functions (HR, Legal, Estates etc.) and with Councils to promote and engender a positive safety culture within UKRI;
- Work with TU Safety Representatives regarding any health and safety issues escalated to UKRI HSMC and HSCC.
- Have direct access to CEO as required and ensure any major incidents or events are notified to UKRI senior managers.

H&S Advisors

17. Councils or OLT shall appoint sufficient competent H&S advisors commensurate (both in terms of number and competence) with the hazard profile of the operations they undertake. Councils or OLT may choose to share such advisors where they are co-located, face common H&S hazards or the specialist nature of the hazard warrants a shared resource.

18. As a minimum, H&S advisors, for their area of responsibility, shall:

- Ensure a proportionate, coherent, documented H&S management system, meeting legislative and UKRI policy requirements is implemented and maintained;
- Provide advice and guidance to managers to allow them to discharge their H&S responsibilities;
- Collate and report H&S performance information for their respective teams;
- Have direct access to their respective Executive Chair or their OLT equivalent;
- Maintain their professional competence and, where encountering hazards outside of this, coordinate provision of specialist competence;
- Work in cooperation with other H&S advisors, sharing lessons learned and best practice.

Trades Union Safety Representatives

19. In UKRI we have partnership agreements with our recognised trades union (TU) who, in accordance with the Safety Representatives and Safety Committees Regulations 1977, are entitled to appoint safety representatives. Safety representatives may represent all staff regardless of their TU membership. The functions of safety representatives are enshrined in law see [link](#).

20. Safety representatives, via their activities, have an important contribution to make to the continuous improvement to health, safety and welfare across UKRI.

ARRANGEMENTS

Safety Management System Documentation

21. UKRI is the legal entity for H&S matters and therefore has in place an overarching safety management system, supplemented by individual Council's and OLT's own arrangements. The documentation for the system consists of:

Policy – This statement of policy, organisation and arrangements.

UKRI H&S Codes – Supporting this UKRI policy are a series of codes relating to generic, subject specific, workplace hazards which identify relevant legislation and published guidance and set out any UKRI specific definitions or requirements.

Local Arrangements – Below UKRI Corporate level, management of H&S is the responsibility of Executive Chairs and their OLT equivalents for their respective areas and they are to put in place their own safety management systems to meet their legal duty to ensure the H&S of their staff and which align with UKRI requirements where they exist. Common documented H&S management systems can be used where co-location and / or common hazards exist.

22. Local H&S arrangements should be consulted first by staff requiring advice or guidance on H&S matters

Governance

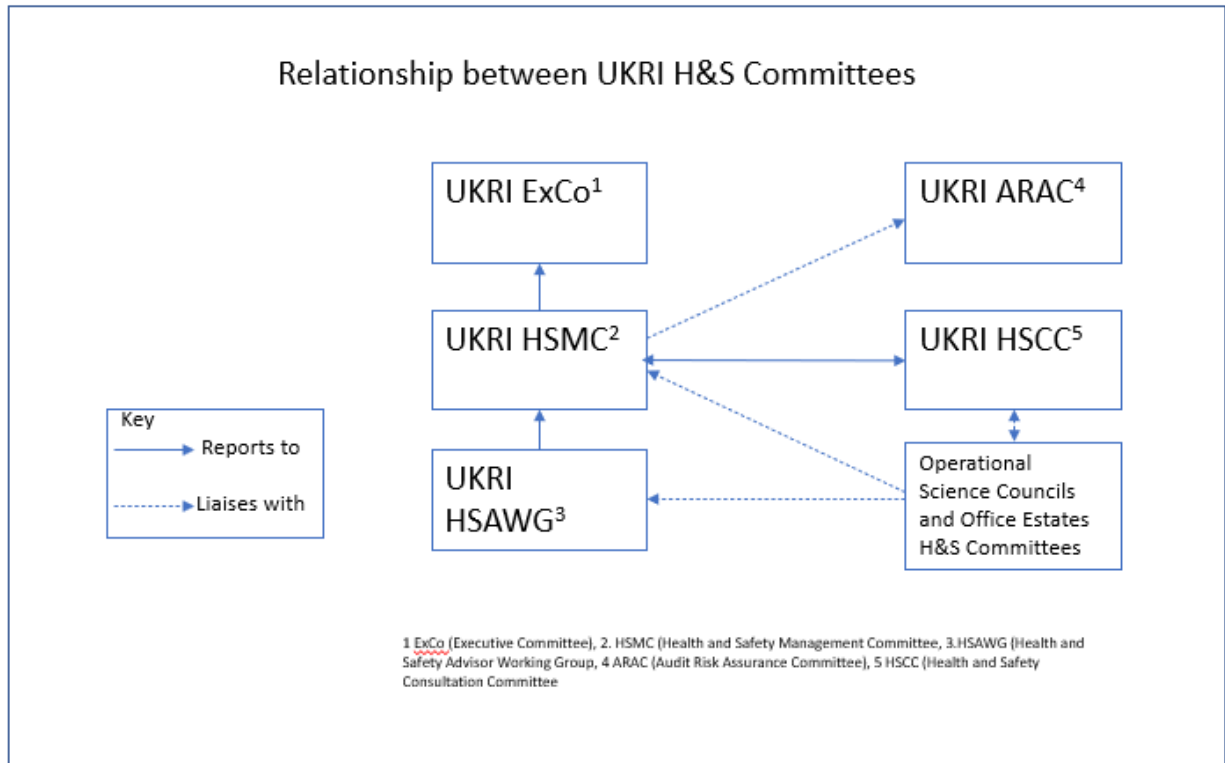
23. Governance of H&S management and performance is exercised via the UKRI H&S committee structure. Each are responsible for maintaining their Terms of Reference (ToRs)². The key UKRI H&S committees are:

The UKRI H&S Management Committee (HSMC) – a sub-committee of the UKRI ExCo, the H&S Management Committee sets the direction for H&S management across UKRI, receives and considers performance reports and agrees actions to improve performance and develop the UKRI's safety culture. The chair of the committee reports to the ExCo and provides information and reports to the ARAC. See [link](#) to the HSMC TORs².

The UKRI H&S Consultation Committee (HSCC) – The committee is constituted to fulfil the requirements for the Safety Representatives and Safety Committees Regulations 1977, as amended, to consult with employees' representatives on H&S matters across UKRI. See [link](#) to HSCC TORs².

The UKRI H&S Advisors Working Group (HSAWG) – This Working Group brings together UKRI H&S Advisors to enable detailed review and formulation of arrangements, sharing of experience and best practice, supporting delivery of UKRI H&S initiatives and promote the establishment of a professional H&S community. See [link](#) to HSAWG TOR's².

² Terms of Reference (TOR's) are published on UKRI internal intranet site.



24. Councils and OLT are expected to have in place appropriate H&S governance arrangements to meet their individual needs. Where co-located, shared governance arrangements are acceptable, especially where there is a shared H&S management system.

Risk Assessment

25. Risk assessment is fundamental to effective management of H&S. All managers are required to identify the hazards to which their staff, and others, may be exposed in their workplaces or as part of their activities, assess the risks to H&S that these represent and ensure they are controlled so far as is reasonably practicable. Where risks are significant the assessment needs to be recorded and the outcome communicated to those who may be affected. It cannot be stressed enough that risk assessment is a thinking process and a means to an end and not the end itself. Where safety risks are considered to be of sufficient magnitude to present a risk to UKRI or Research Council objectives or reputation, they are to be entered into the relevant risk register and escalated to the appropriate level for their management.

26. Organisational change may affect the arrangements for the management of H&S, potentially resulting in increased risks to the H&S of staff and others. It also affords the opportunity to review and strengthen those arrangements. To avoid H&S management arrangements becoming degraded because of organisational change, those responsible for instigating such changes are to ensure that they assess the impact of the change on the existing arrangements for H&S management as part of the planning process, amending plans as necessary.

Competence

27. All staff need a basic understanding of how they can work safely and their responsibility for the H&S of others. Individual Councils and OLT will set their own mandatory training requirements. Where there is co-location at a specific site (e.g. Polaris House in Swindon) then site specific mandatory requirements may also fulfil the basic requirement.
28. It is essential that staff are competent to undertake the tasks assigned to their role. Competence is a mixture of skills, qualifications, attitudes, experience and knowledge. Where information, instruction and training are identified as a control measure, managers are to ensure this is delivered, especially where people operate in high hazard environments. In some specialist roles individuals require specific qualifications and professional memberships; managers are responsible for ensuring these are held or obtained, advice on these matters is available from H&S advisors.

Assurance

29. Assurance is achieved via a combination of active and reactive monitoring activities encompassing audits, inspections, injury & incident reporting and achievement against objectives and performance indicators. Management review of the outcomes of these activities provides the opportunity for identification of trends and areas of H&S management that require strengthening via management action and areas of good practice to share wider.
30. Individual Councils and OLT are to have proportionate mechanisms to assure themselves that H&S is being effectively managed for their area of authority. UKRI SHE Lead will provide UKRI assurance via quarterly H&S performance reports compiled from information across the organisation and used within the UKRI H&S and wider governance mechanisms.

Employee Consultation

31. UKRI is committed to consultation with staff on H&S matters not only to meet our legal obligations but because it is often those at working level who understand what affects their H&S and what will and will not work in strengthening H&S management arrangements. The focal points for employee consultation are recognised Trades Union Safety Representatives. The functions of Trades Union Safety Representatives enshrined in law see [link](#).
32. UKRI Strategic H&S consultation is achieved by the operation of the UKRI HSCC. In addition, employee engagement should occur at all levels within the organisation. It is for individual Councils (Centres, Laboratories and sites) and OLT, to enact their own arrangements for employee consultation, collaboratively where there is co-location; local arrangements should be in line with the overall UKRI H&S policy. If H&S issues are identified that cannot be resolved at a local level then they may be elevated to Council H&S consultation committees or their equivalent. Ultimately, issues can be brought to the UKRI HSCC.

Policy Review

33. This policy is subject to review and re-affirmation at least annually, or more frequently as determined by organisational change, legislation or other significant factors, by the UKRI CEO via the H&S governance structure. This policy is to be communicated to all staff and is available via the UKRI web-site.

**Professor Dame Ottoline Leyser, Chief Executive Officer
United Kingdom Research & Innovation, October 2023**