

UK Research and Innovation



Science and
Technology
Facilities Council

United Kingdom Research and Innovation

Operating across the whole of the UK and with a combined budget of more than £6 billion, UK Research and Innovation (UKRI) has brought together the seven Research Councils (including the STFC), Innovate UK and a new organisation, Research England, in a single legal entity.

UKRI was established on 1st April 2018.

The UKRI H&S Policy is the overarching policy as required under the section 2 of the Health and Safety at Work etc. Act 1974.

The UKRI Chief Executive is accountable to the UKRI Board for the H&S of UKRI staff and delegates responsibility for H&S management through the line UKRI management chain to RC Executive Chairs, Directors, managers and staff.

This document outlines the STFC's Health and Safety Management arrangements and is not a H&S Policy. It sets out the organisational arrangements, and roles and responsibilities for managing H&S within STFC and STFC's contribution to and interface with the UKRI H&S Management System.



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HEALTH AND SAFETY MANAGEMENT ARRANGEMENTS

FOREWORD

“Health and Safety has to remain at the heart of everything we do in the delivery of our world-class science programme. Whilst our health and safety record is good, we must never take this for granted. We are all responsible for our own health and safety and that of our colleagues. Maintaining our excellent record for safety and preventing work-related ill health will continue to be the highest priority for STFC”

Professor Mark Thomson, Executive Chair, Science and Technology Facilities Council

Effective health and safety management is pivotal to the STFC’s operations – our work will not be undertaken without full consideration and management of Health and Safety (H&S) implications. Our standards of H&S management will require us to:

1. Reinforce, at every opportunity, the responsibility for staff to take reasonable care of their own H&S and for the H&S of others who may be affected by their activities;
2. Actively encourage the establishment of a positive safety culture, openly reporting and learning from all H&S incidents, especially non-injury incident such as near misses;
3. Report, investigate and extract the learning from all H&S incidents to minimise the potential for their recurrence;
4. Encourage a culture of safe working, believing all injuries, and learning opportunities, near misses, are preventable, but recognising that we cannot anticipate all eventualities;
5. Ensure absolute clarity of management responsibility for H&S in all circumstances ensuring those responsible for the H&S of others understand and implement these responsibilities for staff, contractors, visiting scientists/facility users and the public, so maintaining our standards of H&S;
6. Meet the spirit and letter of H&S laws and regulations of the countries in which we operate, adopting the accepted best practices of comparable organisations;
7. Ensure the H&S implications of our activities are understood, where appropriate documenting our risk assessment to implement sensible controls necessary to minimise the risks so far as is reasonably practicable;
8. Provide sufficient resources and training to ensure that workplaces are safe and the potential for injury and occupational ill health minimised so far as reasonably practicable;
9. Implement an STFC wide H&S Management System comprising Codes which define responsibility for its implementation through line management and competent staff;
10. Regularly review the effectiveness of the Management Systems’ implementation through audit and inspection, and maintain its effectiveness in the light of legislative change; and
11. Consulting, communicating and discussing this with staff, and their representatives, openly to drive continuous improvement in H&S management systems and performance.



Professor Mark Thomson, Executive Chair
Science and Technology Facilities Council, January 2020

MANAGEMENT ARRANGEMENTS

2. OVERVIEW

In accordance with the UKRI Health and Safety policy the Science and Technology Facilities Council (STFC) in the UK will provide and maintain, so far as is reasonably practicable, safe and healthy working conditions, safe equipment and systems of work for its staff, together with effective management of Health and Safety (H&S) risks including the provision of effective information, instruction, training and supervision for staff.

STFC's duty of care for the H&S of its employees includes responsibility for staff whilst travelling on STFC business and working at non-STFC sites in the UK and overseas. At such sites STFC staff are expected to comply with the site's local procedures with respect to H&S. In such circumstances STFC 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-STFC sites compared with similar work at an STFC site.

STFC 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 partially owned spin out companies on its sites, and the general public.

In accordance with the Health & Safety at Work etc. Act 1974 and the Management of Health and Safety at Work Regulations 1999, as amended, the STFC expects all UK staff to demonstrate a proper commitment to its H&S aims and to take seriously the responsibilities conferred on them in legislation.

Where the STFC is a shareholder, or has status equivalent to a shareholder, in non-STFC facilities or sites, in the UK or overseas, STFC shall endeavour to ensure that such facilities are operated to contemporary legal requirements and or STFC standards, whichever are more rigorous, subject to its shareholding influence. The scope of application of STFC H&S Management Arrangements and Codes across its diverse responsibilities is shown in more detail in Appendix 1.

3. RESPONSIBILITIES

3.1 UKRI Chief Executive and STFC Executive Chair and Directors

The UKRI Board is ultimately responsible for the health, safety and welfare of all UKRI and therein STFC staff and for the H&S of visitors to STFC sites and others who may be affected by STFC's activities.

The UKRI Chief Executive Officer (CEO) exercises this responsibility on the UKRI Board's behalf and has statutory and common law accountability for UKRI and STFC 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 and STFC operations. The UKRI CEO delegate's responsibility for H&S through the line management chain to the STFC Executive Chair (EC). The STFC EC 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 STFC EC is also responsible for ensuring the provision of adequate resources to implement these management arrangements.

In accordance with the UKRI Health and Safety Policy the STFC Executive Chair shall:

- Put in place and operate proportionate arrangements, including access to competent H&S advice, to implement UKRI H&S policy within their respective areas 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;
- 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 the STFC SHE Management system;
- Cooperate with others on H&S matters, particularly where STFC staff are located on others’ sites.

The STFC EC shall appoint persons for all STFC sites, with responsibility to monitor and overview safety performance at those sites, to monitor the implementation of these arrangements, including the effectiveness of local emergency procedures, and to bring to the STFC EC’s attention the need for any action to improve H&S performance. These persons have no general line management responsibility for site H&S except for staff that report directly to them.

Responsibility for operational H&S is thereafter delegated to Directors and through them to managers – H&S is a line management responsibility - see 3.2 and Appendix 2.

3.2 Managers

All managers, including Directors, Group Leaders and Project Managers, are responsible for the health, safety and welfare of the staff within their control, and for the H&S of their visitors, facility users, contractors, tenants and others. This includes responsibility for the H&S of staff whilst travelling to and from, and working at non-STFC sites in the UK or overseas.

The principle H&S responsibilities for managers are:

- Implement the H&S standards and controls set out in STFC SHE Codes and management systems, ensuring adequate monitoring of H&S performance;
- Identify hazards in their delivery areas, 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;
- 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 STFC 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 and others working under their authority on H&S matters to enable improvement to arrangements and performance and share lessons identified across STFC;
- 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.

3.3 Staff

All STFC staff have a legal duty to take reasonable care of their own H&S and for the H&S of others who may be affected by their activities.

The principle H&S responsibilities for staff are:

- 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 STFC and SHE management system requirements;
- Not misusing any equipment that is provided for safety purposes (e.g. fire extinguishers or personal protective equipment);
- Following H&S instructions and completing the H&S training required of you;
- Reporting all accidents, incidents, hazardous conditions or defects that you encounter in the workplace.

3.4 Safety, Health and Environment Group

STFC Safety, Health and Environment (SHE) Group and Head of SHE, is responsible for ensuring that there is a coherent and documented SHE Management System and for providing advice and support to line managers in discharging their responsibilities within this system. STFC SHE Group's responsibilities are set out in more detail in Appendix 3. SHE Group encompasses expertise in generalist, radiation, and fire safety and is supported by specialist external expertise. SHE Group, through its Executive Director, is responsible for reporting STFC's SHE performance to STFC Executive Board and UKRI SHE Management Committee. The Head of SHE Group has direct access to the STFC Executive Chair should this be required for any reason.

In addition to the SHE Group, specialist H&S expertise in Occupational Health is available for each STFC site in the UK.

SHE Group supports a network of Departmental Safety Contacts, whose role is to facilitate the implementation of the STFC SHE Management System within their Department, and to provide advice to local management and STFC SHE Group. Their terms of reference can be found in Appendix 4. Contact details for key staff, and as appropriate their deputies, responsible for undertaking the various roles established by the SHE Codes can be found in the [STFC SHE Directory](#).

4. ARRANGEMENTS

These arrangements are implemented by staff through documented SHE Codes approved by the STFC SHE Management Committee, SHE Codes embody STFC policies for radiation, noise, fire, chemical safety etc. Controlled master copies of STFC SHE Codes are available to staff through the [SHE website](#) including documentation retention policies for documents established and referenced by the STFC SHE Management System. In addition management may document operating instructions specific to particular equipment or facilities describing required operational controls and which embody and implement the relevant controls described by STFC SHE Codes.

Governance of the STFC H&S Management is enacted through key H&S committees whose Terms of Reference are detailed in Appendix 5: STFC SHE Management Committee; STFC H&S Consultation Committee; Laboratory (or Site) Safety Management Committees; Departmental (or Directorate) SHE Management Committees; and functional H&S Management Committees for Radiation, Biosafety, and Electrical hazards.

STFC recognises the importance of effective staff consultation and by agreement with the trade unions consult with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 for all staff and actively supports Safety Representatives in performing their functions. Employee consultation through Trade Union appointed safety representative is actively encouraged at all levels, and across all constituent parts of STFC in an

open and transparent manner. The UKRI and STFC H&S Consultation Committees fulfil the responsibility for staff consultation as described in the Safety Representatives and Safety Committees Regulations, 1977, as amended, for STFC staff, see Appendix 5 for the STFC H&S Consultation Committee terms of reference.

5. H&S MANAGEMENT ARRANGEMENTS REVIEW

This document, in whose development Trade Union safety representatives were consulted, is subject to review and re-affirmation annually by the STFC Executive Chair or more frequently as determined by organisational change, legislation or other significant factors recommended by the STFC SHE Group, SHE Management Committee or the STFC Health and Safety Consultation Committee. These arrangements are available to all staff through the STFC [SHE Website](#) and further discussed through an on-line [BiteSize training package](#).



Professor Mark Thomson, Executive Chair,
Science and Technology Facilities Council, January 2020

Appendix 1 Deployment of STFC H&S Management Arrangements and Codes across STFC sites, facilities and shareholdings

| | Nature of Site | STFC Sites / facilities | STFC SHE | | Comments/issues |
|---|---|--|--|---|--|
| | | | Policy | Codes | |
| 1 | UK STFC site occupied by STFC staff and others | RAL RCaH RFI DL Cockcroft Institute Hartree Centre ROE Chilbolton Observatory The Coseners' House (TCH) SuperSTEM | Mandatory | Mandatory | <p>Sites/facilities in this category subject to an STFC annual programme of audits against Codes. The RAL, DL and ROE sites, primarily through Business and Innovation Directorate, are host to numerous tenant companies who are required through their leases to follow STFC SHE Codes.</p> <p>The Research complex at Harwell (RCaH) is an MRC operated facility in buildings owned by the STFC and located on the RAL site following the STFC SHE Management System.</p> <p>Cockcroft Institute, a collaboration between STFC and UK universities (including those for Manchester, Liverpool, Lancaster and Strathclyde).</p> <p>SuperSTEM an EPSRC funded UK electron microscopy facility are located on the DL site subject to the STFC SHE management systems.</p> <p>The Royal Observatory Edinburgh (ROE) is owned and operated by the STFC where the UKATC is located. The Institute for Astronomy (IfA) part of Edinburgh University is a tenant of the ROE following the STFC SHE Management System.</p> <p>TCH is an STFC site offering accommodation and conference facilities operated by a contracted third party covered by STFC SHE Management System.</p> |
| 2 | UK Non STFC site part occupied by STFC staff | Boulby Mine Facility Swindon Office Hartree Centre NERC MST Radar Facility near Aberystwyth | Mandatory | Apply with host site restrictions and limitations (for example fire and emergency management, Legionella, first aid etc.) | <p>Sites/facilities in this category to maintain a list of adopted Codes - STFC and host site equivalents. Those STFC Codes that they adopt subject to an STFC annual programme of audits.</p> <p>STFC Swindon office is a tenant in a shared host site operated by Joint Business Operations Service (JBOS) hosted by the BBSRC, certain SHE responsibilities, for example fire and emergency, are JBOS responsibility.</p> <p>Boulby Mine facility is operated within Cleveland Potash Limited's (CPL's) Boulby Mine and thereby governed by the constraints inherent to CPL's SHE management system.</p> <p>Hartree Centre while not an STFC site is primarily occupied by STFC staff and tenants, for example IBM, and by agreement is considered an extension to the DL site from a SHE Management perspective.</p> <p>MST Radar facility resides on land leased from the University of Wales, Aberystwyth, by NERC who own the facility/buildings but subcontract operation to STFC who operate it through a local subcontractor. In addition the site hosts facilities owned by the Met Office and University of Manchester.</p> |
| 3 | Non UK STFC site occupied by STFC staff and others | ING La Palma | Mandatory | Available as guidance - local site Codes to meet local legislative requirements | <p>Sites subject to local national SHE legislation.</p> <p>While the management arrangements are mandatory detailed Code implementation must be tailored to meet local legislative requirements.</p> <p>Sites in this category to maintain their own documented Codes meeting the requirements laid out in these arrangements. Where local legislative requirements fall below UK national standards UK standards should be adopted where practicable. Documented cross reference table between STFC UK Codes and local Code equivalents indicating where a specific Code is and is not applicable should be established.</p> <p>Sites/facilities in this category subject to 5 yearly audit by SHE Group as part of compliance audit programmes, see SHE Code 30,</p> |
| 4 | Non STFC facilities/ sites for which the STFC is a shareholder or has 'shareholder equivalent' status | CERN, DLS, ILL, ESRF, ESO, XFEL, UK SBS Ltd. and DL and RAL campus joint ventures | No direct relevance except in establishing a benchmark for assessing the strength of local SHE management systems. | | As a shareholder the STFC, subject to its level of shareholding or influence, should ensure that the site/facility has an appropriate SHE management system as determined by review of shareholder/management SHE reports and these arrangements. |
| 5 | Non STFC sites/facilities (UK and non UK) where STFC staff undertake work | Collaborative partners for example Oxford Uni., ESS, SNS etc. | No direct relevance except in establishing a benchmark for assessing the strength of local SHE management systems. | | <p>UKRI and STFC's duty of care for the H&S of its employees includes responsibility for staff whilst working at non-STFC sites in the UK and overseas. STFC staff should comply with the site's local H&S procedures unless they do not afford equivalent protection compared with similar work at an STFC site in which case staff should follow STFC SHE Codes.</p> <p>Such sites may be subject to a mixture of formal and informal review or audit by SHE Group to provide managers with general assurance of a site/facility's safety.</p> |

APPENDIX 2 RESPONSIBILITY FOR HEALTH AND SAFETY IN STFC

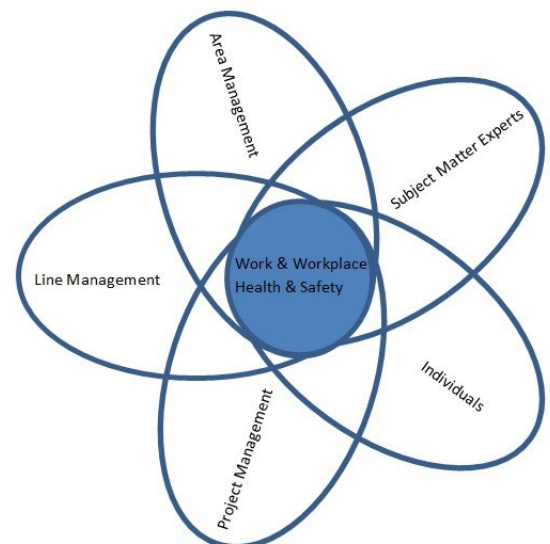
| | | | | | | |
|--|--|--|---|--|--|---|
| Individual? | Individuals have UKRI (STFC) employment contract or defacto equivalent to work on STFC sites | Individuals have right to work on STFC sites through a tenancy agreement | Individuals have right to work/visit STFC site through a contract with STFC or Tenant | Individuals have right to work /visit STFC sites by invitation from STFC or Tenant | | Individuals have no right/invitation to be on STFC land |
| | | | | To undertake office based work only | To undertake practical science/ technical work | |
| | | | | | | |
| Individual's STFC status Examples | Staff Staff (full or part time) Secondees Agency staff Fixed term employees Sandwich student STFC PhD Student | Tenant staff Private sector and academic tenants undertaking commercial and operational R&D activities. | Contractor Contractor Consultant | Visitor Visitor to site Site tours/School visit Public lectures Open day attendee | Resource user Facility User Work experience student Summer student DL Associate Honorary Scientist | Trespasser |
| | | | | | | |
| | | | | | | |
| Person/Group responsible for Health and Safety | STFC Line Manager | Tenant Line Management Separately an STFC member will have responsibility for the tenancy, for example BID for ITAC ,ESA BICs etc. | STFC or Tenant Contract Supervising Officer | STFC or Tenant Host (and/or event organiser) | STFC or Tenant Host (for example beam line scientist) | Limited responsibility held by Estates |
| | | | | | | |

The nature of the STFC's work often necessitates complex matrix organisational arrangements that bring together expertise from across, and beyond, the STFC. This has the potential to complicate the fundamental basis on which STFC responsibility for H&S is delegated - through the line management chain.

Matrix management brings together overlapping spheres of responsibility for H&S: Line Managers; Managers responsible for physical work areas/laboratories; Project Managers; Subject matter experts, for example COSHH assessors, Laser Responsible Officers, Radiation Protection Supervisors etc.; and individuals themselves.

This complexity is a reflection of the nature of the work the STFC undertakes bringing together the breadth and depth of H&S expertise required to manage H&S effectively. The complexity, separating roles, establishes constructive tension on H&S matters, minimising the potential for project or operational delivery pressures compromising operational safety.

Fundamentally H&S is a shared responsibility and it is the responsibility of all to **communicate effectively**, properly



assess and take ownership of H&S issues that affect themselves or others.

Line Managers

Line managers have a direct responsibility for all staff that they manage and others under their supervision. They need to ensure that: people are trained and competent for the work to be done; that there are enough resources (people, equipment, space and time) made available to do the work safely; that work with significant H&S risks is properly risk assessed and any required standing orders or method statements etc. are produced and that they are suitable and sufficient ; and that the work is actually carried out safely following STFC SHE Code requirements and any additional procedures identified through the activity's Risk Assessment. Line managers need to discuss and communicate H&S issues with their staff and others whose actions may affect the H&S of their staff. These same duties also apply when their staff work at non-STFC sites albeit they will be subject to the host site's H&S management systems and heavily reliant on their host's competence.

Area Managers

Area managers have overall responsibility for the safe operation of a physical area. They need to ensure that; people are trained and competent for the work to be done in their area; that there are enough resources (people, equipment, space and time) made available to do the work safely; that work with significant H&S risks is properly risk assessed and any required standing orders or method statements etc. are produced and that they are suitable and sufficient ; and that the work is actually carried out safely following STFC SHE Code requirements and any additional procedures identified through the Risk Assessment. In addition particular attention should be paid to communication of local H&S hazards, their Risk Assessments and operating rules/procedures to those working in their area; and to manage the communication and co-operation on H&S issues where different groups are working in the same area.

Project Managers

Project Managers are responsible for ensuring that their project is managed safely. They need to ensure that; people are trained and competent for the work to be done in their project; that there are enough resources (people, equipment, space and time) made available to do the work safely; that work with significant H&S risks is properly risk assessed and any required standing orders or method statements etc. are produced and that they are suitable and sufficient ; and that the work is actually carried out safely following STFC SHE Code requirements and any additional procedures identified through the Risk Assessment; in particular to provide information of local H&S hazards and operating rules to others working in their projects; and to manage the communication and co-operation on H&S issues for different groups working in their project.

Subject matter experts

These trained and competent individuals have been appointed, for example Radiation Protection Supervisors, COSHH Assessors, Laser Responsible Officers etc. These roles are defined in STFC SHE Codes and have been established to provide advice and guidance on H&S issues relating to their area of expertise and put in place any training, appointments, audits or reviews as necessary.

Individuals

All personnel have a duty to co-operate with line management to achieve a healthy and safe workplace, must comply with H&S rules and standards of STFC, must refrain from any

intentional or reckless acts which adversely affect H&S and must inform relevant management or experts of any dangerous situations and shortcomings in H&S arrangements.

APPENDIX 3 STFC SHE GROUP TERMS OF REFERENCE

1. To provide up-to-date professional Safety, Health and Environmental (SHE) advice, including radiation safety, and guidance to STFC EC, Directors, management, employees, tenants, and facility users, and to support them in discharging their responsibility for the implementation of the STFC SHE Management System.
2. To maintain and continue to develop and improve the STFC's documented SHE Management System comprising this statement of management arrangements, and SHE Codes and their supporting appendices consistent with the UKRI H&S Policy, on the basis of internal application, audit findings, external best practice, and legislative changes identified through horizon scanning.
3. To audit and/or monitor the effectiveness of the SHE Management System's implementation across the STFC.
4. To maintain accurate SHE records and statistics for the STFC and its component parts. To report and provide regular analysis of this data and make recommendation on the issues it raises within the STFC and UKRI.
5. To manage centralised STFC processes to implement SHE Codes, where it is efficient and cost effective to do so, for example lifting equipment, local exhaust ventilation and pressurised system statutory inspection, and the provision of Occupational Health services.
6. To provide general and specialist SHE training for STFC staff and others working at STFC sites.
7. To facilitate the sharing of SHE information and good practices across UKRI and STFC, specifically between STFC laboratories, management and SHE contacts, including reports of injuries, incidents and near misses, and audit findings in order to improve SHE awareness and performance.
8. To undertake and/or assist with investigations/boards of inquiry into selected and/or major SHE incidents to ensure the root cause(s) and actions to minimise the risk of their recurrence are identified.
9. To provide a focus for and leadership of SHE management within the STFC amongst those groups with SHE responsibilities, alongside other professionals for example Occupational Health.
10. To act as the primary interface between the STFC and external organisations for SHE issues, for example regulatory bodies: the Health and Safety Executive (HSE) and Environment Agency (EA), or institutes/laboratories where STFC staff undertake work.
11. To raise any matters of importance relevant to the SHE Management System's effective implementation within the STFC to the Directors with responsibility for H&S, and where appropriate to the STFC Executive Chair, directly if necessary.

APPENDIX 4 DEPARTMENTAL SHE CONTACT (DSC) TERMS OF REFERENCE

To facilitate the implementation of the STFC SHE Management System within their Department providing advice to and liaising with local management and STFC SHE Group.

- Contacts are **not** formally responsible for Departmental safety - this remains with the respective Department Director and their management team.
- Direct contact between SHE Group and Departmental staff is actively encouraged, and it is not the role of DSC to act as gateway to the STFC SHE Group.

The role of DSC varies depending on the Departmental SHE hazard profile and variously includes the following responsibilities:

- Understanding the documented STFC SHE Management System and its application/relevance to their Department;
- Maintaining a high level overview of Departmental SHE hazards;
- Acting as a contact within the Department for general SHE issues including:
 - Attending Departmental and safety meetings, including the Department SHE Management Committee;
 - Where competent providing appropriate SHE advice to Departmental/site staff;
 - As appropriate participating in the investigation of Departmental SHE incidents and the follow up of any resulting actions;
 - Sharing potential STFC or UKRI wide learning from Departmental SHE incidents through SHE Group; and
 - Reporting to Departmental management local SHE performance and issues;
- Facilitating the communication of STFC SHE information by Departmental line management;
- As appropriate, establishing directly or through others Departmental specific SHE management systems or documentation for example Departmental Safety handbooks or specific safe systems of work or instructions, ensuring that such systems are subject to document control;
- Ensuring that a programme of Departmental Safety/SHE tours is established, ensuring that follow up actions to address corrective or preventive actions are established;
- Facilitating the preparation of an annual review of Departmental/site SHE performance identifying successes, incident trends and actions to maintain and or improve SHE performance – the SHE Improvement Plan; and
- Contact within Departments for the STFC SHE Group, other DSCs and SHE committees, including:
 - attendance at STFC SHE network meetings and relevant H&S Management Committees;
 - receipt and onward transmission of general SHE communications, for example what why learning posters for local display; and
 - Feeding back issues or concerns, and enquiries from or engagement with regulatory bodies to the STFC SHE Group.

APPENDIX 5 TERMS OF REFERENCE FOR STFC H&S MEETINGS

STFC SHE MANAGEMENT COMMITTEE TERMS OF REFERENCE

Purpose

Reporting to the STFC Executive Chair and Executive Board the STFC SHE Management Committee is responsible for monitoring the capability and performance of the SHE Management System in fulfilling the aims set out in the H&S and Environmental management arrangements, and its objective of continuous improvement in SHE performance. Approving significant changes to the STFC SHE Management Arrangements and SHE Codes the committee maintains close links with the National Laboratories Operations Board.

Responsibilities

1. To monitor the capability and performance of the SHE Management System in fulfilling the aims set out in these management arrangements and its objective of continuous improvement in SHE performance against objectives and performance metrics;
2. To approve all changes to the STFC H&S management arrangements and SHE Codes on behalf of the STFC, including amendments to and withdrawal of existing Codes and launch of new Codes;
3. To regularly review the STFC input and output SHE performance at least annually, reviewing injuries/incidents/near misses, audit findings etc.;
4. To recommend corporate H&S and Environmental improvement objectives to Executive Board for approval, reviewing its implementation.
5. To consider and review the SHE culture of the STFC ensuring it is consistent with the objective of continuous improvement in SHE performance;
6. Commission, approve and review the findings of a rolling programme of SHE Code Compliance audits, and periodic STFC SHE System audits, ensuring that sufficient resources are made available for their efficient, effective and timely completion;
7. Receive and review regular reports from specialist functional and site H&S management committees established in these management arrangements; and
8. To review and approve SHE submissions to the STFC Corporate Risk Register.

Membership

- Chair: STFC Chief Operating Officer, STFC EB lead on H&S
- Director with oversight responsibility for SHE at RAL including The Cosener's House (TCH), Chilbolton Observatory, and the STFC's experimental facility at Boulby Mine, or their nominee
- Director with oversight responsibility for SHE at DL including the Hartree Centre, or their nominee
- Director with oversight responsibility for SHE at the ROE, or their nominee
- Director National Laboratories Science and Technology
- Management representation for Swindon Office (and the STFC site at La Palma)
- Management representative from Business and Innovation Directorate for tenants
- Management representative from Estates
- Management representative from the STFC Health and Wellbeing Committee
- On a staggered rotating basis, unless otherwise agreed, two Directors or Senior Managers or their nominees (from the following high hazard profile Departments: ISIS; CLF; Technology; ASTeC, Estates and RAL Space)
- Head Safety, Health and Environment Group
- A safety representative nominated by the recognised trade unions, although this is not the formal consultation committee

Where attendance is not possible deputies should be provided. A Director plus a minimum of 6 members (or their deputies) is required for quorum.

Specialist input and attendance will be sought as determined by Committee's agenda.

Method of working

- The SHE Management Committee meetings, typically of 2 hours' duration, shall be timetabled annually in advance on a quarterly basis although further and/or longer meetings may be required depending on the committee's work programme and agenda.
- The SHE Management Committee secretary shall circulate the meeting's agenda to members a week prior to each meeting, circulate actions agreed immediately after meetings followed by meeting minutes within two weeks. Papers for discussion at meetings will be set up in the SHE Meeting SharePoint site at least one week prior to the meeting.
- The Committee's terms of reference and membership shall be reviewed annually by the SHE Management Committee.

LABORATORY/SITE HEALTH AND SAFETY MANAGEMENT COMMITTEE TERMS OF REFERENCE

Background

The primary role of Laboratory/Site H&S Management Committees, as distinct from Departmental SHE Management Committees, is to provide an “independent” source of information and advice to the STFC Executive Chair as to the effectiveness of the management of H&S in a specific geographic location.

Chairing these committees the STFC Executive Chair has appointed Directors with oversight responsibility for H&S at: RAL (including The Cosener’s House, Chilbolton Observatory and Boulby Mine facility); DL (including the Hartree Centre); ING La Palma; and ROE to:

“...monitor and overview safety performance at that site, to monitor the implementation of the STFC H&S managements arrangements, including the effectiveness of local emergency procedures, and to bring to the Executive Chair’s attention the need for any action to improve H&S performance.”

Laboratory/Site H&S Management Committees are one key route through which these Directors exercise this responsibility.

Laboratory/Site H&S Management Committees are **not** generally the route through which H&S is managed within the STFC except where the Laboratory or Site H&S Management Committee has the same scope/responsibility as the Departmental H&S Management Committee, for example on small sites.

Purpose

Reporting to the Directors with oversight responsibility for SHE, and therein the STFC Executive Chair, Laboratory H&S Committee’s provide an independent route through which H&S performance is monitored and reviewed.

To promote co-operation and effective communication between employees, managers, facility users and tenants so that effective arrangements to protect their health, safety and welfare, and to support environmental sustainability, can be developed and implemented.

While the current focus of the STFC is H&S management, environmental management is not included within the remit of this Committee.

The RAL Laboratory H&S Management Committee encompasses those activities undertaken under the STFC H&S Management System at RAL, the Chilbolton Observatory, the Cosener’s House, and Boulby Mine. The DL Laboratory H&S Management Committee encompasses those activities undertaken under the STFC H&S Management System at DL, and Hartree Centre. In both instances this includes the activities of tenants located on these sites who are required to operate the STFC H&S Management System.

Responsibilities

1. To monitor and review the site health and safety performance, identifying issues of common concern for the Laboratory to be raised with Departmental SHE Management Committees, and the Executive Chair.
2. To monitor and review Site/Laboratory wide H&S management systems for example emergency response, fire safety, contractor safety, traffic safety, actively driving their improvement.
3. SHE Group, based on Department H&S risk registers, to establish a Site/Laboratory Risk Register for review by the Committee to understand the impact on Site/Laboratory wide H&S management systems.

4. As appropriate to commission any site-wide H&S Management System compliance audits, and safety tours, etc., based upon reported H&S incidents the results of Directorate/Department safety tours, assessment of the major H&S hazards at the Site/Laboratory etc., and to review their outcome.
5. Provide a forum for consultation and discussion of H&S matters with TU safety representatives and where present Representatives of Employee Safety.
6. Consider reports from the Health and Safety Executive and other regulatory bodies in respect of Site/Laboratory H&S matters and action as appropriate through Departmental SHE Management Committees, STFC SHE Management Committee and/or the Executive Chair.
7. Promote a positive health and safety culture in the Site/Laboratory, enabling staff, users, tenants and managers, to contribute to the achievement of the STFC's objective of continuous improvement in H&S performance.
8. Actively sharing good practices and learning between Departments and with/from other STFC Laboratory/Site Safety Committees.
9. Provide a forum for discussion of H&S matters in regard to the interface with and engagement between the site and co-located campuses where they exist.

Membership

Chaired by the Directors with oversight responsibility for Health and Safety at each Site/Laboratory and should meet quarterly, membership should include:

- Representatives from each of the Departments based at the Site/Laboratory, in general the chairs of the Department SHE Management Committees;
- Safety Representatives should be encouraged to attend but these committees are not the formal route through which Safety Representatives engage with STFC management.
- Representation from the STFC SHE Group, and Emergency/Site Controllers; and
- Others may be co-opted onto the Committee as determined by the agenda and H&S challenges faced the Site/Laboratory.

Where attendance is not possible deputies should be provided.

To promote communication between Departmental, Laboratory and STFC SHE Management Committees it is recommended that Department members are sourced from Departmental SHE Management Committees, and could include Departmental Safety Contacts.

Method of working

Papers for discussion at meetings will be set up in the SHE Meeting SharePoint site at least one week prior to the meeting and shared between sites and departments.

DIRECTORATE/DEPARTMENTAL SHE MANAGEMENT COMMITTEE TERMS OF REFERENCE

Purpose

Reporting to the Directorate/Department Director Department SHE Management Committees provide a focus for the proactive management of Safety, Health and Environmental issues within a department. As a key tool in the implementation of the STFC's SHE Management System it is the responsibility of Directors to determine how this committee is best structured and implemented in their Department.

While the current focus within the STFC is H&S management, environmental management is included within the remit of these Committees to recognise the increasing importance of this issue and the inherent links between H&S, and environmental management.

Responsibilities

1. To be a source of drive and ownership for improving Departmental SHE management and performance informing the Department Director of any areas of concern for their attention.
2. To coordinate SHE within the area, overseeing the deployment of the STFC SHE Management System, resolving issues that arise from its implementation, as appropriate establishing local systems, and providing the necessary assurance to the Director that the STFC SHE Management System is being effectively and efficiently implemented within the area.
3. To monitor and review the safety, health and environmental performance of the Department, promoting the accurate reporting, investigation and progress the implementation of actions to minimise the potential for recurrence of all SHE incidents.
4. To commission a coherent programme of Safety/SHE tours etc. for all areas under their responsibility, and to review their outcome, ensuring that follow up actions are established and implemented.
5. Establish and maintain in the light of current operational practice and planned work programmes a Departmental SHE Risk Register, using the register to prioritise improvement actions, and inform the Departmental Risk Register.
6. Based upon the results of tours, audits and incident investigations, develop and review an annual plan to improve the SHE performance for the Department.
7. To identify and report issues of general STFC concern and interest to the STFC SHE Group, Laboratory/Site H&S Management Committees and STFC SHE Management Committees.

Membership

Chaired by the Director, or a senior manager/division head, where not chaired by the Director, the Director should chair one meeting per year.

Membership should be representative of the area's line management. Those parts of a department with significant SHE hazards in particular should be represented.

Safety Representatives should be encouraged to attend but these committees are not the formal route through which Safety Representatives engage with STFC management.

The committee should meet at least quarterly.

The Departmental Safety Contact for an area and a representative of the STFC SHE Group should be members. Others may be co-opted onto the Committee as determined by the SHE challenges faced by a particular Department. This should be encouraged for Departmental staff to ensure that the role of the committee is understood, and that a broader range of staff understand how to raise SHE issues or concerns.

The Chair and a minimum of 4 members is required for quorum, attendees should ensure that deputies are available where attendance is not possible.

Where an area's activities are geographically split between sites/laboratories SHE should not be differentiated from other management responsibilities in its coherent management. It is recommended that a single SHE Committee is established to ensure that common approaches to SHE management are encouraged across sites, and that learning and good practise sharing between sites is encouraged.

A suggested framework for Departmental SHE Management committee agendas can be found [here](#), and includes:

- Annual review of implementation of the committee's Terms of Reference and attendance;
- Review of appointments in SHE management system/SHE Directory;
- Reports from SHE specialists – electrical, biosafety, chemical, chemical purchase leads etc.;
- Development and periodic review of delivery of annual Departmental SHE improvement plans;
- Major projects that may impact SHE, horizon scanning;
- Development and review of Departmental SHE Risk Registers;
- Review of delivery of SHE Training and Training Needs Analyses etc.; and
- Review of SHE Risk Assessments.

STFC RADIATION SHE MANAGEMENT COMMITTEE TERMS OF REFERENCE

Purpose

Reporting to the STFC SHE Management Committee, the Radiation SHE Management Committee provides a forum to review and improve the effectiveness of ionising radiation management arrangements coherently across the STFC.

Responsibilities

1. To provide an overview and focus for ionising radiation management across the STFC, ensuring that legislative requirements are met and that radiation exposures and radioactive waste discharges are restricted so far as is reasonably practicable;
2. To considering annual/quarterly radiological safety and radioactive waste reports for STFC sites;
3. To consider, and as appropriate propose, changes to the radiation safety codes, including the training and competence of those working with ionising radiation, for approval by the STFC SHE Management Committee, and communication and implementation across the STFC.
In proposing such changes the committee will:
 - i. Take account of current regulatory requirements, best practice and the advice of its radiation protection advisers (RPA) and radioactive waste advisers (RWA);
 - ii. Review findings of audits undertaken on the codes in the SHE Audit programme; and
 - iii. Review findings of investigations into radiation related incidents, considering where the safety codes need strengthening;
4. To consider learning points from radiation-related incidents and exercises within the STFC and the wider radiation protection community; and
5. To provide direction to the STFC on implementation of necessary response to regulatory instruction or enforcement.

Membership

Chair: Head of STFC SHE Group

- One or more as required Director-nominated representatives from each Department and functional representatives where ionising radiation hazards exist, currently ISIS, Technology, CLF, ASTeC, PPD, and RAL Space. In representing Departments, the Director-nominated representatives should consult, with and feedback, to Departmental Radiation Protection Supervisors (RPSs) on radiation matters.
- Safety Representatives with a specific interest/involvement in ionising radiation management should be encouraged to attend but this committee is not the formal route through which Safety Representatives engage with STFC management.
- All STFC Radiation Protection Advisers (RPAs) and Radioactive Waste Advisers (RWA)
- Head STFC Safety, Health and Environment (SHE) Group.

In case of absence, deputies should be provided.

Specialist input and attendance will be sought as appropriate.

Method of working

- Secretarial resource for the meeting sourced by SHE Group.
- Committee meetings, typically of 2 hours' duration, shall be timetabled to ensure that sufficient time is available to collate quarterly reports, ideally after the end of the month following the quarter end.
- Additional meetings will be convened as required.

- The agenda and relevant committee papers will be uploaded onto the SHE Meeting SharePoint site at least one week prior to the meeting. The minutes from meetings will be uploaded within one week following the meeting.
- The Committee's terms of reference and membership shall be reviewed annually by the Committee.

STFC BIOSAFETY AND GM MANAGEMENT COMMITTEE TERMS OF REFERENCE

Background

The Rutherford Appleton Laboratory (RAL), Daresbury Laboratory (DL), Diamond Light Source (DLS) and MRC Research Complex at Harwell (RCaH) have agreed to combine their respective Genetic Modification (GM) and Biological Safety Committees to provide a single committee that covers both biological agents and genetically modified organisms (GMOs). This delivers practical advantage by providing a consistent and co-ordinated approach for biological and GMO risk management across these organisations, in particular on the RAL site/campus, and through which the combined biological and GMO expertise of all three organisations can be utilised more effectively in reviewing risk assessments.

This joint committee will advise and support all three organisations but this does not remove any of the H&S responsibilities of any individual organisation. Each will appoint their own local Biological Safety Officer (BSO) and have ultimate responsibility for the work proposed and ongoing within their laboratories, including the registration of work with the HSE's Biological Agent's Unit, and all requirements set out in relevant legislation.

Reporting to the STFC SHE Management Committee the Biosafety and GM Committee provides a forum to review and improve the effectiveness of biosafety controls coherently across the STFC.

To support local BSOs and to assist with the scrutiny of risk assessment and oversee the management of work with biological agents across these organisations, STFC has also engaged the expertise of an external Biological Safety Officer (BSO).

Purpose

To ensure all work involving GMO's and Biological Agents are compliant with relevant legislation, specifically the Genetically Modified (Contained Use) Regulations and Control of Substances Hazardous to Health Regulations (COSHH) and all associated guidance.

To ensure efficient communication and cooperation between the three organisations and also external customers so that work is appropriately reviewed and approved.

Responsibilities

1. To review and approve all GM and Advisory Committee on Dangerous Pathogens (ACDP) 2 and 3 biological agent risk assessments before work commences. ACDP 1 biological assessments will be reviewed locally by a competent person e.g. the BSO
2. To ensure HSE receive notification of Class 2 GM activities and first use of ACDP 2 and 3 biological agents, before work commences.
3. To ensure all modifications and changes to legislation and guidance are adopted and communicated.
4. To review incidents and possible instances of occupational ill health involving GMOs and biological agents and, where appropriate, give advice to the relevant organisation.
5. To be involved in the inspection of laboratories and facilities used for work with GMOs and biological agents.
6. To review training and health monitoring requirements.

Membership

- The chair of the committee is rotated annually between the three collaborating institutions.
- The committee will consist of staff from all three organisations and will include the DLS, STFC (RAL and DL) and RCaH Biological Safety Officers (BSOs) and then appropriate individuals to be able to assess and advise on the GM and Biological agent activities notified.

- Safety Representatives with a specific interest/involvement in biosafety management should be encouraged to attend but this committee is not the formal route through which Safety Representatives engage with STFC management.
- A minimum number of 5 members of the committee must be present for the meeting to be quorate and there should be representation from all three organisations.
- Where attendance is not possible deputies should be provided.

Method of working

- The committee should meet a minimum of twice a year with class 1 GM and ACDP 1 biological agent proposals circulated electronically as and when they are put forward. Class 2 (and above) GM and ACDP2 biological assessments should be reviewed at a meeting of the GMSC. ACDP1 biological proposals will be reviewed locally by a competent person e.g. the local BSO.
- Minutes of the meeting will be taken.

STFC ELECTRICAL SAFETY MANAGEMENT COMMITTEE TERMS OF REFERENCE

Purpose

Reporting to the STFC SHE Committee the STFC Electrical Safety Committee provides a forum to review and improve the effectiveness of electrical safety coherently across the STFC.

Responsibilities

1. To establish an overview and focus for electrical safety management across the STFC ensuring that electrical safety matters and learning is communicated widely and consistently across the STFC's electrical community;
2. To consider and as appropriate propose changes to STFC SHE Codes in respect to electrical safety, specifically but not limited to SHE Codes:
 - SC34: Electrical Safety Management; and
 - SC17: Portable Electrical Equipment (maintaining and reviewing the STFC risk assessment for the inspection and testing of electrical equipment).for approval by the STFC SHE Committee and implementation across the STFC. In proposing such changes the committee will:
 - Review findings of audits of electrical safety Codes in the STFC corporate audit programme;
 - Review the findings of investigations into electrical related SHE incidents reported within the STFC, and from external sources; and
 - Ensure all modifications and changes to electrical safety, and associated, legislation and guidance are considered and as appropriate adopted and communicated.
3. To provide a focus for consideration of management interactions with regulatory authorities in respect of electrical safety.
4. Generate a short annual report on the state of electrical safety management across the STFC to present to the STFC SHE Committee.

Membership

Chair: Nominated by Head of SHE

- Electrical Authorising Engineers
- An Electrical Authorised or Nominated Person that has been nominated by a Department Director and approved by the Electrical Safety Committee
- Safety Representatives with a specific interest/involvement in electrical safety management should be encouraged to attend but this committee is not the formal route through which Safety Representatives engage with STFC management.

Where attendance is not possible deputies should be provided.

Specialist input and attendance will be sought as determined by Committee's agenda.

Method of working

- Secretariat resource for the meeting procured by the Chair.
- Committee meetings, typically of 1.5 hours' duration, shall be time tabled annually in advance on a quarterly basis although further and/or longer meetings may be required depending on the Committee's work programme and agenda..
- The Committee's secretary shall circulate the meeting's agenda to members one week prior to a meeting and circulate minutes from meetings within one week of the meeting. Papers for discussion at meeting will be set up in the SHE Meeting SharePoint site at least one week prior to the meeting.

- The Committee's terms of reference and membership shall be reviewed annually by the Committee.

STFC H&S CONSULTATION COMMITTEE TERMS OF REFERENCE

Purpose

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

The STFC H&S Consultation Committee is the formal "Safety Committee" as defined in the 'Safety Representatives and Safety Committee Regulations' 1977 for STFC as a whole.

Responsibilities

The Committee shall:

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

Membership

The H&S Consultation Committee will be chaired by the Chair of the STFC H&S Management Committee, or their nominee, or as agreed by the STFC Executive Chair. The Committee should establish a Management Deputy Chair.

Membership:

- Chair;
- Representatives from STFC H&S Management Committee; and
- H&S representatives from Trade Union (TU) bodies.

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).

Where attendance is not possible deputies should be provided.

UKRI and the trade unions have agreed to consult only under the Safety Representatives and Safety Committees regulations 1977.

Input from STFC SHE Group or other specialist advisors may be sought by the Committee as determined by the Committee's agenda.

Method of working

Only members of the Committee and those invited have the right to attend Committee meetings. Members should aim to ensure that a deputy will 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 STFC 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. The safety representatives may request an ad-hoc meeting be arranged if they feel it necessary.

In meeting its responsibilities the STFC H&S Consultation Committee will approach its work in a way which reflects and champions the values of STFC with due recognition of the trade union recognition agreement.