

TRANSPORT FOR LONDON

SAFETY HEALTH AND ENVIRONMENT COMMITTEE

SUBJECT: REVIEW OF HEALTH, SAFETY AND ENVIRONMENT LEADERSHIP

DATE: 18 MARCH 2009

1 PURPOSE AND DECISION REQUIRED

- 1.1 To review the leadership of Health, Safety and Environment (HSE) in TfL against guidance issued by the Institute of Directors and the Health and Safety Commission.
- 1.2 The Committee is requested to note the report.

2 BACKGROUND

- 2.1 In October 2007, the Institute of Directors and the Health and Safety Commission (since merged into the Health and Safety Executive) jointly issued guidance on “Leading health and safety at work – leadership actions for directors and board members”, INDG417. The introduction states that “This guidance sets out an agenda for the effective leadership of health and safety. It is designed for use by all directors, governors, trustees, officers and their equivalents in the private, public and third sectors. It applies to organisations of all sizes.”
- 2.2 The checklist has been used to make an assessment of the status of HSE leadership in TfL.
- 2.3 There are a wide variety of structures and processes through which TfL demonstrates leadership in relation to HSE matters. These structures and processes include the activities of the Board itself, the activities of the Safety Health and Environment Committee (SHEC) of the Board, the modal Panels and the activities of individual members of the Board. All of these are important but SHEC plays a particularly important role because of its membership and its specific remit from the Board in relation to HSE assurance. SHEC is composed of six Board members and is attended by the modal Managing Directors and the General Counsel, representing the Corporate Directorates. The terms of reference of SHEC state that the Committee should ‘...satisfy itself on behalf of the Board ...’, in relation to the provision of assurance on HSE matters.

3 CHECKLIST QUESTIONNAIRE

- 3.1 The ‘Health and safety leadership checklist’ from the guidance and the responses to them are laid out overleaf.

Checklist items	Response
<p>1. How do you demonstrate the Board's commitment to health and safety?</p>	<p>The Commissioner's Report to each TfL Board meeting includes comments on significant health, safety and environment (HSE) initiatives and incidents. Board papers that address matters that have significant HSE elements address those HSE elements to ensure full and appropriate involvement in them.</p> <p>SHEC is a Committee of the TfL Board and is required to meet at least four times per year, with a quorum of three Board members. The principal role of SHEC is to satisfy itself, on behalf of the Board, that the TfL Group has adequate HSE governance systems in place and to provide assurance on this to the Board.</p> <p>The Chief Officers of London Rail, London Underground, Surface Transport and the General Counsel (representing the Corporate Directorates) – shortly to be joined by Crossrail representation - attend SHEC to report on past, ongoing and future HSE matters of significance. When necessary, SHEC seeks further information and makes recommendations on the modes' activities and issues.</p> <p>The Chair of SHEC provides quarterly reports to the Board and additionally provides annual reports on Health and Safety and Environment.</p> <p>Each mode provides an annual self assessment 'HSE Assurance Letter' to the Commissioner and SHEC, signed off by its Chief Officer. These Letters record the extent of the mode's compliance with the requirements of the Group HSE Management System.</p> <p>The SHEC and Board minutes and papers are published on the TfL website.</p> <p>HSE-related marketing campaigns aimed at customers demonstrate to them TfL's concerns about HSE. Board members make site visits and use these opportunities to raise HSE matters with staff and contractors.</p>
<p>2. What do you do to ensure appropriate board-level review of health and safety?</p>	<p>On behalf of the Board, SHEC reviews the TfL HSE Policy, the Corporate and modal HSE Improvement Priorities and Plans, the quarterly modal HSE Reports, the annual TfL Health and Safety Report and the annual TfL Environment Report.</p> <p>Visits are arranged for the Board and SHEC members to inspect TfL facilities as appropriate.</p>

Checklist items	Response
3. What have you done to ensure your organisation, at all levels, receives appropriate health and safety advice?	<p>Group HSE and the modes have professional HSE staff from Director level down. SHEC has two external advisers who are appointed for their specialist HSE experience.</p> <p>External HSE advice is sought at Group level and by the modes, from colleagues, regulators and external specialist as necessary.</p>
4. How are you ensuring all staff, including the Board, are sufficiently trained and competent in their health and safety responsibilities?	<p>Each mode and department in TfL has training plans, in which appropriate HSE training is an important part. When new SHEC members are appointed, they receive information on how HSE is managed in TfL, including the mechanism for the provision of assurance to SHEC and the Board.</p>
5. How confident are you that your workforce, particularly safety representatives, are consulted properly on health and safety matters, and that their concerns are reaching the appropriate level including, as necessary, the Board?	<p>London Underground has a well established and fully active consultative process. Surface Transport has a staff consultative regime to ensure that staff representatives have access to senior management outside of the normal line management process and for operational staff there are local consultative committees. London Rail is further developing its consultation processes and the Corporate Directorates are in the process of rolling out a revised consultation process.</p> <p>All staff in TfL have access to independent confidential reporting systems.</p> <p>Given the nature of the Board, it is not considered necessary for formal consultation processes to reach directly to that level.</p>
6. What systems are in place to ensure your organisation's risks are assessed, and that sensible control measures are established and maintained?	<p>The TfL Group HSE Management System (HSEMS) requires all modes to have management systems that include the assessment and control of HSE risks. Compliance of modal HSEMSs with Group requirements is determined through a self assessment HSE Assurance Letters process and independent audits.</p>

<p>7. How well do you know what is happening on the ground, and what audits or assessments are undertaken to inform you about what your organisation and contractors actually do?</p>	<p>Board members make site visits and also use the TfL transport systems, thereby getting first hand experience of operations on the ground.</p> <p>The TfL Group has an HSE audit programme, as does each mode and these include audits of key contractors. Progress against the audit programmes and any significant findings from the audits are reported quarterly to SHEC and reviewed in the annual TfL Health and Safety Report.</p>
<p>8. What information does the Board receive regularly about health and safety eg performance data and reports on injuries and work-related ill health?</p>	<p>The modal quarterly reports to SHEC contain performance data including reports on reportable injuries, reportable work-related ill health and significant incidents, with full details, including trends over time, provided in the TfL Group Annual Health and Safety Report and the Annual TfL Environment Report.</p>
<p>9. What targets have you set to improve Health and Safety and do you benchmark your performance against others in your sector or beyond?</p>	<p>The annual TfL Business Plan summarises the health and safety improvements that will be delivered through the modal Business Plans. These are presented each year to SHEC as Improvement Priorities and Plans.</p> <p>London Underground is a member of the international Community of Metros (CoMET) with which it benchmarks. London Buses benchmarks aspects of its contractors' performance, in London and with bus companies in other cities.</p>
<p>10. Where changes in working arrangements have significant implications for Health and Safety, how are these brought to the attention of the Board?</p>	<p>Major changes in organisation and working arrangements are brought to the attention of the Board as appropriate.</p> <p>Modal management systems have requirements for change management processes to be in place and significant change issues are brought to the attention of SHEC through the quarterly reports.</p>

5 CONCLUSION

- 5.1 In the light of the response to the IOD/HSC checklist questions it is considered that the TfL Board and SHEC collectively demonstrate compliance with the requirements for effective leadership of HSE as laid out in - “Leading health and safety at work – leadership actions for directors and board members”, INDG417.

6 RECOMMENDATION

- 6.1 The Committee is requested to NOTE the report.

7 CONTACT

- 7.1 Contact: Richard Stephenson, Director Group HSE
Telephone: 0207 126 4905