

Transport for London

SAFETY, HEALTH & ENVIRONMENT COMMITTEE

Meeting No. 32 to be held on 5 July 2007 at 1000hrs
in the Boardroom, 14th Floor Windsor House,
42-50 Victoria Street, London SW1H 0TL

AGENDA

- | | |
|--|--------------------|
| 1. Apologies for Absence | - |
| 2. Minutes of Meeting No. 31 held on 6 March 2007 | - |
| 3. Matters Arising and Outstanding Actions Report | - |
| 4. Appointment of SHEC Advisors | Dave Wetzel |
| 5. Annual HSE Assurance Letters | MD's |
| 5.1 LU | Tim O'Toole |
| 5.2 Surface Transport | David Brown |
| 5.3 London Rail | Ian Brown |
| 5.4 Corporate Directorates | Howard Carter |
| 6. Safety on London Buses (oral) | David Brown |
| 7. Business HSE Reports | MDs |
| 7.1 LU | Tim O'Toole |
| 7.2 Surface Transport | David Brown |
| 7.3 London Rail | Ian Brown |
| 7.4 Corporate Directorates | Howard Carter |
| 8. Any Other Business | Richard Stephenson |

Date of next meeting
Thursday 6 September 2007 at 1000 hrs
Windsor House, 14th Floor, Boardroom

Transport for London

MINUTES OF THE
SAFETY, HEALTH & ENVIRONMENT COMMITTEE MEETING No. 31
held on 6th March 2007 in Boardroom, Windsor House at 14.00 pm

OPEN SESSION

Present:

Members:

Dave Wetzel
Kirsten Hearn
Paul Moore
Tony West

Chair

(Minutes 50/03/07 - 57/03/07)

In Attendance:

Ian Brown
David Brown
Howard Carter
Richard Stephenson
Mike Strzelecki
Mark Evers
Helen Woolston
Jeanette Baartman

Managing Director, London Rail
Managing Director, Surface Transport (part time)
General Counsel
Director of Group Health, Safety & Environment
Director of Safety, London Underground
Principal Policy Unit, Office of the Commissioner
Environment and Climate Change Co-ordinator
Group Sustainability Unit Manager

Secretary:

Suzanne Charlton
Virginie Grand-Port

TfL Secretariat
TfL Secretariat

ACTION

50/03/07 Apologies for Absence

Apologies were received from Lord Toby Harris.

51/03/07 Minutes of the Previous Meeting

The minutes of Meeting No. 30 held on 15th November 2006 were **AGREED** and signed by the Chair as an accurate record.

52/03/07 Matters Arising and Summary of Action Points

Platform Train Interface Incidents

Mike Strzelecki advised that the reason for the spike of incidents which had occurred on the Northern line had not been identified. It was noted that it was rare for these incidents to result in fatalities. The issue of fitting platform edge doors on the new

lines being built was discussed. Mike Strzelecki advised that there were no current plans to fit platform edged doors onto existing platforms. It was agreed that Ian Brown would check the situation with regard to Cross Rail and revert back to the meeting.

Ian Brown

Kirsten Hearn asked whether any soft options were currently being investigated as alternatives to doors to resolve any safety issues. Mike Strzelecki advised that over the last few years various soft measures, such as yellow lines, and announcements had been introduced and that LUL had benchmarked themselves against other underground systems. It was noted that Paris were currently experimenting with platform edge doors and that the results of this experiment would be reviewed. It was further noted that with the exception of Hong Kong, retro-fitting of platform edged doors was not being implemented in other countries.

Cumbria Train Crash

Dave Wetzel asked whether there were any lessons to be learnt from the recent train crash in Cumbria. Mike Strzelecki advised that he was waiting to hear on the official formal report. It was noted that following the preliminary findings LUL had taken the precaution of checking similar points in their system and no issues had been identified. It was noted that Mike Strzelecki would review the final report to see if any lessons could be learnt.

Mike Strzelecki

53/03/07 Draft Business Planning Guidelines – Health and Safety, Resilience and Sustainability

The members of the Committee noted the content of the presentation by Richard Stephenson.

It was noted that the T2025 identified three transport objectives, consistent with the Mayor's vision for a sustainable London, as being supporting economic development; tackling climate change and improving social inclusion.

Richard Stephenson advised that the Guidelines were currently in draft form and open for comments.

In addition to the communities already mentioned, Dave Wetzel drew the Committee's attention to the need to consider social class, poverty and the role of small businesses in the equalities inclusion section. It was agreed that these matters should be included in the appropriate TfL policies (eg. Small businesses in the procurement policy).

The Committee **NOTED** the report.

54/03/07 Sustainability Unit Work Plan

Jeanette Baartman presented the report on the Sustainability Unit Work Plan to the Committee.

The Committee were advised that the TfL Group Sustainability Unit had been set up in September 2006 with the overall objective of supporting the process of mainstreaming sustainability across the organisation. Jeanette Baartman explained that the Unit had developed a Work Plan with three work streams. These are:

1. To develop a sustainability framework and strategy and raise awareness across TfL;
2. To enhance sustainability in the wider business planning processes and develop tools to support this; and
3. To co-ordinate climate change mitigation and adaptation at Group level.

Jeanette Baartman advised that the development of a sustainability framework for TfL would require the engagement of senior management at the outset of the project, and subsequent communication to staff. Dave Wetzel suggested that senior officers should be engaged in sustainability policies on an ongoing basis. It was noted that TfL had identified three main transport objectives that were consistent with the Mayor's vision for a sustainable London, as well as the objectives of the Department of Transport. To achieve these objectives London needs an efficient, accessible, secure and clean transport system. To this end, TfL needs to ensure that sustainability is being mainstreamed.

Dave Wetzel suggested that consultation with TfL management should be ongoing and at regular intervals rather than just at the commencement of the project. Tony West questioned how the SHEC members could strengthen this vision. Kirsten Hearn agreed and suggested that it should be highlighted that the Board should be engaged in these discussions.

The Members of the Committee **NOTED** the report.

55/03/07 Climate Change

Mayor's Climate Change Action Plan

Mark Evers presented the report on the Transport section of the Mayor's Climate Change Action Plan.

Mark Evers advised that the Mayor had launched a Climate

Change Action Plan on 27th February 2007 which focused on what contribution London should make and what actions need to be taken by London. It was noted that the Plan sets out where London's CO₂ emissions come from, how they are projected to grow under a 'business as usual' scenario and how London can deliver substantial CO₂ savings if the right timely actions are taken. Further, it sets out programmes that will put London on course to achieve 60% reductions in CO₂ emissions by 2025. It was noted that London is already pursuing opportunities to reduce CO₂ emissions on a greater scale than most other cities, but that efforts would have to increase dramatically if reduction targets are to be met.

To achieve these targets, it was noted that CO₂ emissions would need to be cut by 4% every year. This will be challenging and may require the establishment of a carbon pricing system and further EU and UK legislation.

Mark Evers advised that cutting emissions will not necessarily cost London as some emissions are the result of wastage which could be stopped and so ease the situation.

It was noted that £78m (for the full scope of the Action Plan not just transport) had been set aside to tackle this issue and that a key part of the Action Plan was to make the best use of money that is already being invested in this area.

Tony West questioned whether the Freight Industry had responded to the proposals in the plan. It was agreed that Mark Evers would consult with the Freight Unit and revert back.

Mark Evers

In response to the suggestion, in the Action Plan, of selecting lighter, more fuel efficient vehicles, the safety aspect was questioned in light of the recent train crash in which lives had been saved due to the structure of the new train. Mike Strzelecki advised that the new tube stock were lighter than the old stock, but safer due to their construction.

The Committee **NOTED** the report.

TfL's Climate Change Fund

Helen Woolston presented the report on TfL's Climate Change Fund to the Committee.

The Committee was advised that TfL had established a Climate Change Fund in order to help deliver initiatives which contribute to the Mayor's objectives as set out in his Climate Change Action Plan. Helen Woolston explained that the fund is £25m over 3

years and is managed by Group HSE. The fund will be aimed at assisting with Climate change mitigation. The types of projects which could be funded were described and it was noted that bids would be assessed by a cross business Approvals Group.

Helen Woolston advised that two projects had already been approved relating to Eco-Driving and Hydrogen Cars and Vans. It was anticipated that other projects considered by the Fund would include the funding of hybrid buses, renewable energy 'flagship stations' for LUL and DLR, Freight Unit fuel efficiency programmes and decentralised energy supply for the Palestra Building.

It was noted that all projects would be monitored to ensure that they delivered their goals and progressed according to the plan set out in their business case.

Richard Stephenson commented that the focus brought to bear on climate change was a good example of TfL acting quickly in a co-ordinated and comprehensive way to a major challenge.

It was agreed that these actions should be commended.

56/03/07 Influenza Pandemic Update

Richard Stephenson presented an oral update on the Influenza Pandemic to the Committee.

It was noted that a GLA exercise on 11th January 2007 had tested the Pandemic Response Plan. A report on this exercise had identified certain lessons learnt but had generally demonstrated a good state of preparation. The Mayor had been in attendance throughout the exercise and had been satisfied with the results.

Richard Stephenson advised that a Government exercise, Winter Willow, had taken place between 30th January 2007 and 19/20 February 2007 and that TfL had played a low key role in this exercise. It was noted that an element of this exercise had been to test an updated draft Cabinet Office/Department of health Contingency Plan. He pointed out that some elements of the draft Plan, if retained, might require TfL to review its own plans.

Richard Stephenson reported that TfL continued to work on Health and HR issues and that consultations with Trade Unions would continue.

Members **NOTED** the report.

57/03/07 Business HSE Reports

LUL

Mike Strzelecki briefed SHEC on the LUL report and highlighted the following issues:

- The summary of things that had gone well;
- Two fire contraventions had occurred during the period. It was noted that corrective actions had been taken at both locations
- The zero tolerance target for the London Underground Safety Actions Tracking System had been achieved in Q1 and Q2
- An analysis of customer major injuries had been done and the conclusion reached that the increase this quarter was linked to the increase in customer journeys. The presentation by Mike Strzelecki on Customer Major Injuries would be circulated to members.
- The decline in workplace violence incidents was noted. This issue was discussed and a particular issue relating to oyster card users occurring at DLR stations was highlighted.
- The levels of sickness in Service Control, Signal Operators and Support Managers was discussed. It was noted that work was ongoing to help redress this situation.
- It was noted that 403 drug and alcohol tests had been undertaken in the quarter with 4 positive results. The Rehabilitation programme was discussed and was noted to have a very high success rate. The number of staff members coming forward for this programme was noted to mirror society generally. The increase in the referral of women was discussed. Kirsten Hearn advised that she believed that this was partly due to the increase in the number of women who are employed, and also the increase generally in society of women with drug and alcohol issues.

Secretary

Surface Transport

David Brown briefed SHEC on his report and highlighted the following issues:

- The amalgamation of the Safety Teams from Streets and Buses. The reporting line was noted to be from Mike Weston to David Brown. It was stressed that this will not take away responsibility from the directorates, but would ensure co-ordination of best practice and a unified process.
- Recent passenger and bus related pedestrian fatalities were detailed;
- The results of the Human Engineering Consultancy analysis had concluded that the most plausible reasons for the increasing trend in bus v pedestrian fatalities were the

increases in bus volume and the increase in the number of overseas visitors to London

- It was reported that although an electronic solution was available to avert low bridge incidents, most instances were due to human error.

TfL Corporate

Howard Carter briefed SHEC on this paper.

- The content of the report was noted.
- Howard Carter agreed to report back to the Committee on any issues raised by the Independent Audit.

Howard Carter

Rail

Ian Brown briefed SHEC and highlighted the following issues

- Although there had been no reportable incidents, there had been 5 minor accidents reported on the East London Line. Local investigations had revealed that possible contributory factors were the increase in “new starters” on the site having English as a second language. It was noted that this situation was being closely monitored and that staff had been briefed on the issue and new procedures implemented.
- Safety (significant incidents) were discussed. It was noted that an incident involving a door failing to open had been investigated and the fault found to be an isolated short circuit. It was noted that following an incident involving an escalator at Canary Wharf, Kone (escalator maintainer) had been instructed to check all escalators on DLR and no similar defects had been found

The Committee **NOTED** the reports.

58/03/07 Appointment of SHEC Advisors

Richard Stephenson updated the Committee by way of an oral report.

It was noted that interviews had been scheduled.

59/03/07 Any Other Business

No further matters were raised

There being no further business the meeting closed.

Signed: _____ **Chair**

TRANSPORT FOR LONDON

OPEN SESSION
SAFETY, HEALTH & ENVIRONMENT COMMITTEE
OUTSTANDING ITEMS REPORT AND ACTION LIST 30

OUTSTANDING ITEMS:

Target Meeting Date:	Description:		Minute No.
Standing Item	<u>LUL, Rail, ST and Corporate Directorates:</u> HSE Performance Reports	Tim O'Toole Ian Brown David Brown Howard Carter	
July 07	<u>Proposed SHEC Agenda Items:</u> The Chair requested that the Road Safety Team provide information on the effect of road safety advertising on road safety data.	David Brown (Keith Harwood / Chris Lines)	Meeting N. 30 47/11/06
2007/2008	It was agreed that the TfL Health and wellbeing pilots should be progressed further and a business case would be developed by Occupational Health and Groups HRS in 2007/08.	Olivia Carlton	Meeting N. 30 41/11/06

ACTION LIST:

Status:	Description:		Minute No:
March Meeting			
Completed	<u>Platform Train Interface Incidents</u> Ian Brown agreed check the situation on fitting of platform edged doors with regard to Cross Rail. <i>Crossrail's designs do include platform edge doors at the new central area stations (which have adequate platform width). Crossrail do not propose to install platform edge doors on the open sections on the Great Western and Great Eastern mainlines.</i>	Ian Brown	Meeting No. 31 52/03/07

TBA – awaiting final report from RAIB	<u>Cumbria Train Crash</u> Mike Strzelecki to review the final report in to the finding on the Cumbria Train Crash for lessons that can be learnt.	Mike Strzelecki	Meeting No. 31 52/03/07
TBA	<u>Climate Change Action Plan</u> Mark Evers to consult with the Freight Unit with regard to the Mayor's Climate Change Action Plan and report back to the Committee.	Mark Evers	Meeting No. 31 55/03/07
Completed	<u>LUL - Customer Major Injuries</u> Presentation by Mike Strzelecki to be circulated to Committee Members.	Secretariat	Meeting No. 31 57/03/07
TBA	<u>TfL Corporate – Independent Audit</u> Howard Carter to report to the Committee on any issues raised by the Independent Audit	Howard Carter	Meeting No. 31 57/03/07

TRANSPORT FOR LONDON

SAFETY HEALTH AND ENVIRONMENT COMMITTEE

SUBJECT: Annual Health Safety and Environment Assurance Letters - 2006/07

MEETING DATE: 5th July 2007

1. Purpose

To inform members of the status of Health Safety and Environment Management Systems (HSEMSs) in the Modes at the conclusion of 2006/07.

2. Decision required

The Committee is recommended to NOTE the contents of the HSE Assurance Letters attached.

3. Background

Last year TfL introduced an annual HSE assurance letters process whereby each Mode makes an assessment of the status of its HSEMS(s) in relation to the requirements set out in the TfL Group HSEMS. These assessments are made against the 10 principal elements of the Group HSEMS. The letters once completed are reviewed and formally signed off by the Chief Officer/Managing Director for each Mode.

4. Information

The HSE Assurance letters received from each of the Modes are attached.

Transport for London
London Underground Ltd

To: TfL Safety, Health and Environment Committee

Submitted by: Tim O'Toole, Managing Director, London Underground

Subject: London Underground Health, Safety and Environment Management System – Assurance Statement for 2006/07

Date: 26 April 2007

1. Introduction

The purpose of this Memorandum is to report on the implementation status of the London Underground (LU) Health, Safety and Environmental Management System (HSEMS) as at April 2007. This represents my, and my Directors, personal commitment to the effective management and continuous improvement of Health, Safety and Environment in London Underground.

2. Implementation Status of the LU Health, Safety and Environmental Management System

Following detailed and careful consideration of the implementation status of the LU HSEMS I am able to fully endorse the assurance statements made in Attachment 1.

In summary, I am satisfied that LU is meeting its statutory and other obligations in respect of health, safety and the environment including the adoption of industry best practice where this is applicable.

3. Future Developments

LU also has a commitment to continuous improvement in health, safety and environmental management and performance and this means we are continuously looking at how we can improve these further. This is achieved through our respective health, safety and environmental improvement programmes each year. These programmes are endorsed by the LU Health, Safety and Environment Committee and progress is monitored and reviewed throughout the year.

Our health, safety and environmental improvement programmes are available on the LU Intranet.

Some of the key areas where we are seeking to make further improvements over the next 12 months are:

- Continuation of the programme to further improve LU's safety and technical assurance regime including the work to finalise the consolidation and integration of safety and technical audit in the LU SQE Directorate.
- Quantified Risk Assessment (QRA) – The review of the complex top event risk models continues, to ensure developments (e.g. major projects such as the Connect PFI and the Jubilee / Northern line upgrades) are evaluated and taken into account.
- Accident pre-cursors – We continue to benchmark accident pre-cursors both internally and externally to further enhance our understanding of root causes and to identify best practice.
- Incident investigation – Following the improvements already made to the investigation of major incidents we plan to cascade best practice to secure improvements in the quality and effectiveness of local incident investigation.
- Environment - There are a number of improvement actions within the LU Environment Plan that will allow us to continue to improve our performance and meet our obligations under the Mayor's Environmental Strategies.
- Health – the five year programme focusing on a range of improvements including mental health, back pain, cardiovascular and musculo-skeletal issues as well as improvements in respect of the health related elements of long term absence continues.
- HSEMS – following the review of HSEMS undertaken in 2006, further work will be undertaken in 2007 including the review of our standard for setting health, safety and environmental conditions in commercial contracts. This review will be undertaken in conjunction with our PPP/PFI suppliers.

4. Recommendation

It is recommended that the TfL Safety, Health and Environment Committee accept this memorandum and the attached assurance statement.

Tim O'Toole
Managing Director
London Underground

Assurance Statements 2006/07 – London Underground

1. HS&E policy

LU has issued a revised Health, Safety and Environmental Policy to mirror TfL HSE policy. This policy has been endorsed by the LU Board and came into effect in January 2007.

The policy is widely available on the LU Intranet, is contained within the safety certification and authorisation documentation required by the Railways and Other Guided Transportation Systems (Safety) Regulations (ROGs), and is on display on notice boards in all LU stations, depots, offices and other premises.

2. HS&E Management Systems

The LU Health, Safety and Environmental Management System is fully implemented. The LU Health, Safety and Environment System and the relevant standards and procedures cover all of LU and its business activities and are in accordance with the criteria within the TfL Group HS&E Management System, with one minor exception concerning notification of major incidents.

The LU Health, Safety and Environmental System reflects best practice in respect of the management model we have adopted and is fully compliant with industry best practice for management systems.

In 2006 HSEMS was subject to a comprehensive review in accordance with LU standards. The recommendations arising from the review are part of a programme of improvements that have been tracked via the LU Safety Action Tracking System (LUSATS). These improvements are on target for completion in summer 2007.

During 2006/07 LU submitted its application for Safety Certification and Authorisation under new railway safety legislation (ROGS). This was approved by HMRI in March 2007. The LU application document replaces the LU Railway Safety Case.

3. Management Competence

Those management roles within LU that have significant health, safety and environmental accountabilities or responsibilities have been identified, recorded in job descriptions and reflected in LU's Safety Certification and Authorisation document.

LU has established and implemented a range of internal health and safety training courses for junior, middle and senior management/directors. The emphasis in respect of these courses is on those managers whose roles have the greatest impact on risk in the LU operational environment.

4. HS&E Objectives/KPIs

LU has had a comprehensive improvement programme in respect of health, safety and environment over the last year. These programmes are developed on an annual basis and the current programme, which follows-on from previous programmes, has been endorsed by the LU Health, Safety and Environment Committee. The detailed project delivery plans, milestones and accountable managers have been entered on LUSATS. This has enabled the visibility and status of actions to be the subject of on-going monitoring and review.

LU has also established a comprehensive set of Safety & Environmental Key Performance Indicators (SKPI's) which we use to help measure our performance. Our SKPI's include active and reactive indicators and pre-cursor events. Performance is reported by a number of means at local and higher levels within LU. Our main health, safety and environmental performance report has been published every quarter and subject to detailed review by the LU Health, Safety and Environment Committee.

5. Risk Assessment

LU has established comprehensive arrangements for the assessment of health and safety risk in respect of our customers, employees and others affected by our operations. These arrangements are set in place via the LU standards that have been implemented for the assessment and control of risk. Risks have been identified, assessed and control measures established through:

- Quantified Risk Assessment (QRA) in respect of LU's major ('top event') risks to customers. Reviews of the complex risk models have been part of an on-going programme. The collision and derailment top events which have been reviewed during the past year are now nearing completion.
- Customer Risk Assessments (CRA) which have been undertaken at each of LU's stations in order to identify the specific day to day health and safety risks in relation to our customers.
- Workplace Risk Assessments (WRA) which have been undertaken at each of LU's operational locations in order to identify the specific day to day risks in relation to our employees.

LU standards require that our risk assessments are subject to thorough review periodically, at times of change and following significant events as appropriate. Our on-going programme of review has been adhered to.

In this way we have ensured that our health and safety risks are maintained at levels that are as low as reasonably practicable.

6. Meetings

The LU Health Safety and Environment Committee (of the LU Board) has continued to meet 4-weekly. This is chaired by the Director of Safety with members being drawn from LU Directors and senior management representatives.

Metronet and Tube Lines have standing invitations for their Managing Directors and Safety Directors as non-members.

For the majority of the year the above Committee has been supported by the LU Safety Review Group (SRG). This Group, chaired by the LU Director of Safety has a membership of senior operating, engineering, safety, contracts, HR and Strategy and Service Development representatives. In the last quarter of the year, as part of our programme to improve our assurance regime we merged the LU SRG with our Engineering peer review to form the Directors' Assurance Review Team (DART), in order to strengthen our overall peer review arrangements. Meetings have continued to be held at least every 4 weeks with a provision for special meetings when necessary, which in practice, during the last year or so, has resulted in around 40 meetings of SRG/DART. The remit of the Group continues to encompass the peer review/validation of change where this has significant health and safety implications, peer review of all Formal Investigation Report recommendations and actions in advance of their implementation and overseeing the tracking and completion of safety improvements in the LU Safety Action Tracking System.

In addition to the above meetings, health and safety is a standing agenda item at LU's various directorate management meetings.

In respect of employee involvement and consultation LU has established and implemented a health and safety consultation framework at three levels that facilitates employee involvement and consultation at strategic, operational and working levels. In addition, working groups on such topics as Safety Case/ROGS development, standards change review, fire and workplace violence have been established. The LU HSEMS has been designed to ensure that the statutory rights of employees and their representatives are met in terms of involvement and consultation in respect of matters of health and safety.

7. Incident Reporting and Investigation

Through the implementation of HSEMS LU has established standards and processes for the reporting and investigation of incidents that facilitate the identification of the root causes of incidents and the development and monitoring of corrective actions.

In respect of the investigation of significant incidents LU has a dedicated incident investigation team which can also call upon a number of safety managers/advisers and engineers trained in specialist investigation techniques. All investigations undertaken over the last year have employed these techniques. All Formal Investigation Reports (FIRs) issued over the last year have been subject to peer review by the LU SRG/DART and corrective actions and programme details/accountabilities have been entered on to LUSATS and are being monitored through to completion. Progress with the implementation of the recommendations from FIRs in respect of the most serious incidents is reviewed at the HSEC.

8. Assuring HS&E Performance

LU has established and implemented standards and process for the audit of the LU HSEMS. LU's standards require that the audit plan is risk-based and the programme is developed against set criteria and subject to wide consultation in draft before approval. The audit programme for 2006/7 was approved by the LU Health, Safety and Environment Committee in April 2006. The combined Safety, Technical and Training Standards audit programmes (post the implementation of the recommendations of the safety & technical audit review) have covered key LU health and safety processes, operational risk controls and specific topic areas. The audit programme has also covered LU's suppliers and other railway undertakings that interface with LU.

Audit results and actions have been reported in specific reports and in the quarterly LU Health Safety and Environmental Performance Report. In addition to audit work undertaken via SQE a programme of HS&E System checks has been carried out across LU as part of local management assurance checks.

9. Procurement Management

The vast majority of LU's major suppliers have been procured via our PPP and PFI arrangements, and as such, have been subject to an extremely thorough process of evaluation in terms of overall capability including health, safety and environment aspects.

Through the contractual arrangements established we have mechanisms that drive good health, safety and environmental performance. These include such things as the PPP Safety Agreement and Standards Code and the ability to set standards that all parties must adhere to. LU also has contractual mechanisms for taking punitive action where performance falls below our requirements. These mechanisms have been utilised in order to achieve the required performance improvement and maintain the necessary safeguards.

For non-PPP and PFI suppliers, including the PPP Suppliers supply chain, LU has implemented standards and processes for procurement that ensure that suppliers meet our requirements at all stages of the procurement process.

10. Actions from the Review of the HS&E Management System

LU has established and implemented a standard for the review of the adequacy and effectiveness of the HSEMS, and related arrangements, that have the potential to affect health, safety and environment. Such reviews are overseen by the Health, Safety and Environment Committee and any actions arising included in the LU Safety Improvement Plan. A comprehensive review was carried out in 2005.

Transport for London
Surface Transport

To: The Safety Health and Environmental Committee

Subject: HSE Management System Assurance

Date: June 2007

DRAFT

1. Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for Surface Transport's operational public transport units as of June 2007, thereby giving assurance to SHEC of Surface Transport's commitment to the management of HSE. Surface Transport comprises of the following modes, London Bus Services Limited, Victoria Coach Station, Public Carriage Office, London Trams, TPED, London River Services and London Buses Limited incorporating East Thames Buses and Dial-A-Ride. Attachment 1 to this paper provides updates to the current status against all modes of Surface Transport.

2. Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of Surface Transport during the reporting year 2006/2007. During this year we continued to make progress in resourcing further the safety team and implementing specific actions. There is also now more focus on the governance with regard to HSE for Surface Transport.

Following consultation with all of the modes concerned, the status of the Surface Transport modal HSEMS, statements made in Attachment 1 can be fully endorsed.

3. Continuous HSEMS Developments

As part of the ongoing review and development of HSEMS, the following improvements continue to be taken forward:

- Improvement of each modal HSEMS against key findings of the internal review carried out in 2006 and simplification against good practice models;
- Improved Governance arrangements continue to be implemented across the modes;
- Following appointment of a Project Manager the formal review of the Surface Transport SMS to include integration of environment into our HSEMS
- Improved safety support for Surface Transport Modes via imbedded central resource within each mode;
- The appointment of a Safety Training Manager to co-ordinate employee safety training within Surface Transport.

Submitted by:

David Brown

Managing Director, Surface Transport

ATTACHMENT 1

SURFACE TRANSPORT ASSURANCE STATEMENTS

1.0 HSE Policy

All modes have adopted the TfL Group Health and Safety Policy which was amended in August 2006. The policies are, where applicable, branded to their own mode and authorised at modal level, available to staff via the intranet and are drawn to the attention of staff in various manners including the prominent display on notice boards.

2.0 HSE Management Systems

A HSEMS is in place across the modes, and with the exception of London Trams this is based on a standard Surface framework and TfL requirements. London Trams HSEMS, whilst meeting TfL Group's HSE requirements, continue to follow a different model. This is being addressed under the current review of Surface Transport's HSEMS.

A project manager has now been appointed to review, update and integrate Health Safety and Environmental procedures into an integrated HSEM System and to support implementation in each mode through the modal managers. Consultation is underway with key stakeholders to ensure ownership within the modes and resources will be required both from within the modes and the Surface Transport safety and environmental teams to embed requirements into the business.

Surface Transport continues to be compliant with core legislation and improved Governance arrangements have been established within the modes to ensure legal compliance is maintained. Each mode is monitoring the implementation of the actions arising from the recommendations from the previous audit and are satisfied that these actions are being progressed in a timely manner.

3.0 Management Competence

A total of 100 Surface Transport staff attended the British Safety Council Level 2 'Supervising Safely' course since last years' assurance letter. A further 20 attended two, one day Health and Safety workshops for Directors and Higher Managers.

The appointment of the Surface Transport Safety Training Manager has been finalised. The new position will co-ordinate employee safety training across all of Surface Transport.

The gaps in the HSEMS (see above) have meant there has been some lack of clarity regarding roles and responsibilities. This has made it difficult to fully define the HSE competence required for some roles. Surface Group Safety is a lead point of contact for each mode and is working with them to ensure this is effectively defined, and that appropriate implementation actions are established and agreed.

4.0 HSE Objectives / KPIs

Health and safety objectives are signed off annually at the various modal safety governance meetings, and progress is typically reviewed through the same process.

In most cases objectives have supporting plans and targets. Surface Transport continues to work on improving the 'SMARTness' of the targets. Health and safety KPIs are reported annually to SHEC.

By July 2007 Surface Transport will have collected 2006 / 2007 environmental performance data for all modes in relation to energy use, water consumption and noise etc. This will enable each mode to establish its baseline environmental position from which the next step will be to set targets for improvement going forward which will be contained in the HSEMS.

5.0 Risk Assessments

Risk assessments continue to be carried out within the modes and assessment are monitored and reviewed under existing guidelines. Risk assessment procedures are being reviewed as part of the ongoing SMS review and the need for local ownership is being emphasised, where necessary, within the modes.

A programme of fire risk assessments is underway which covers premises not currently managed by Group Facilities.

6.0 Meetings

The Governance process has been strengthened within the Modes by the creation, where necessary, of specific modal Health and Safety Governance Meetings to review HSE performance. This allows for improved governance when compared to previous arrangements.

A review of existing arrangements for Surface Transport staff Consultation has been carried out and future requirements are being finalised.

7.0 Incident Reporting and Investigation

A programme of one day accident investigation courses have been provided by the Royal Society for the Prevention of Accidents and were attended by 35 staff across Surface Transport.

Further improvement, to the way bus operators' carry out accident investigation, have been made including the use of Kelvin Consultants to undertake independent investigations and review processes currently in place. The aim is to identify best practice within the industry.

Further improvements to the reporting database, which is used by bus operators, have been made and is now more robust. A review to develop a replacement reporting system which is web based has been commissioned

8.0 Assuring HSE Performance

Across the modes assurance of HSE continues to be undertaken through a combination of planned general inspections, operational inspections, independent audits by LUL Safety and physical condition surveys. Each mode reports HSE performance information on a regular basis – typically each period to senior management meetings and quarterly to SHEC.

Each modal HSEMS has procedures for planned general inspections, audits and review. The arrangements for audit and review have not been fully implemented.

9.0 Procurement Management

The Safety Advisor (Contracts) continues to review contract health and safety requirements at pre tender, tender and implementation stages.

10.0 Actions from the review of the HSEMS

The findings of the previous assurance letter review continue to be monitored and progressed in a timely manner by each mode. The review of the HSEMS continues and includes the relevant documentation and issues associated with implementation of the revised system.

London Rail

To: The Commissioner / The Safety Health and Environment Committee

Subject: HSE Management System Letter of Assurance
for Group Communications

Date: 5th July 2007

Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for the London Rail thereby giving assurance to The Commissioner/SHEC of my personal commitment to the management of HSE in line with TfL's HSE Policy.

Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of London Rail during the reporting year 2006/07:

I confirm that the attached statements reflect the status of compliance of London Rail's HSE MS requirements and where compliance is not achieved corrective actions are planned.

Submitted by: Ian Brown

**Managing Director
London Rail**

London Rail Chief Officer's Assurance Letter

HSE Policy

- **The TfL Group HSE Policy has been adopted, along with a business specific HSE policy statement, and communicated to all employees**

London Rail has adopted the TfL HSE Policy Statement (updated August 2006) and has communicated it at London Rail team meetings. London Rail employees can view the HSE Policy Statement on notice boards and by accessing the TfL HSE Management System website on Source.

HSE Management Systems

- **HSE Management Systems (HSE MS) are in place and are implemented in accordance with the criteria laid down in the TfL Group HSE Management System to cover all business activities.**

The London Rail HSE Management System is currently undergoing a significant review. The review is designed to include general updates and to incorporate additional responsibilities that will be present once the London Rail Concession comes into operation in November 2007. The safety management system on DLRL has undergone significant review to include its responsibilities as Infrastructure Manager (as required by the Railways and Other Guided Transport Systems Regulations (ROGS)).

Management Competence

- **Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.**

Job descriptions summarise the key HSE responsibilities for specific employees. HSE competencies or training requirements have been defined as part of the performance management process. The majority of the senior management team at London Rail, DLRL and London Overground have attended the AD Little, Strategic Safety Management learning programme. Further courses will be arranged as the need arises.

HSE Objectives / Key Performance Indicators

- **HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.**

HSE objectives are formalised within London Rail's Business Plans. HSE related Key Performance Indicators relating to fatalities and major injuries are reported to BMR and to SHEC quarterly and annually.

Risk Assessments

- **A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.**

Programmes of risk assessment are in place to implement the requirements of the HSE Management System. Where risk assessments identify the requirement for further controls to bring risks to an ALARP level, these are highlighted to local management. To ensure that risk assessments remain current, periodic reviews will take place at least every 3 years, where there is a reason to suspect that they are no longer valid, following an incident or where significant changes have occurred to the workplace, task or employee.

Meetings

- **A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.**

A programme of meetings exist at which HSE performance is discussed as a standing agenda item, e.g. Rail for London Board meetings, the London Rail Executive Group, DLR Executive group, ELL Project Safety Committee, Crossrail Health & Safety Committee. Safety is also discussed at team meetings and on a broader basis, through team talk.

Incident Reporting and Investigation

- **All incidents are reported and investigated, in line with the HSE MS procedure, to identify root cause and corrective action.**

Accidents are recorded in the accident book and on an electronic database. Incident investigations take place commensurate to the event, identifying immediate and root causes. Where necessary action plans will be produced to ensure recommendations are closed out in a timely fashion.

Assuring HSE Performance

- **An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.**

A standard for completing HSEMS 'systems checks/audits' is included within the London Rail HSEMS standards. The London Rail SMS has just undergone external audit, the results of which are expected soon. An independent external HSE audit of DLRL, its franchisee and concessionaires will take place in October 2007.

Procurement Management

- **Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.**

Goods, works and services are currently procured in compliance with TfL procurement processes. Compliance with all applicable health and safety legislation is a standard contractual requirement.

Actions from Review of Management System

- **The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings**

The current review of the HSEMS will be sanctioned by the London Rail Executive Group and all significant changes will be communicated to those within London Rail as required.

Corporate Directorates Chief Officer's HSE Assurance Letters

Finance

To: The Commissioner / The Safety Health and Environment Committee

**Subject: HSE Management System Letter of Assurance
for Finance and Planning**

Date: July 2007

4. Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for the Corporate Directorates in Finance and thereby giving assurance to The Commissioner/SHEC of my personal commitment to the management of HSE in line with TfL's HSE Policy.

5. Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of Finance during the reporting year 2006/07:

I confirm that the attached statements in Part 1 and those in Part 2 reflect the status of compliance of Finance with the Corporate Directorates HSE MS requirements and where compliance is not achieved indicate the corrective actions planned.

Submitted by:

Name
Title,

PART 1

Finance 'General' HSE Responsibilities

1. HSE Policy

The TfL Group HSE Policy has been adopted, along with a business specific HSE policy statement, and communicated to all employees

The TfL Group HSE Policy Statement was revised in August 2006 and issued to all Directorates for communication. It is available on notice boards and via 'Source', and is provided to new employees as part of the Corporate Welcome, with further work programmed to communicate the policy.

2. HSE Management Systems

HSE Management Systems (HSEMS) are implemented in accordance with the criteria laid down in the TfL Group HSE Management System and cover all business activities.

The current suite of standards and procedures that comprise the TfL Corporate HSE Management System are 'in place' and implement the Group HSEMS. In 2006/07 two new standards relating to Occupational Driving and Personal Protective Equipment (PPE) have been introduced.

3. Management Competence

Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.

The 'responsibility matrix' in the HSEMS summarises key HSE responsibilities for employees. HSE competencies have not been defined. Job Descriptions do not address HSE competencies or cross-reference the Responsibilities Matrix.

Business Plans include work to build up HSE competencies

4. HSE Objectives / Key Performance Indicators

HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.

No Key Performance Indicators or targets have as yet been set to monitor performance against objectives. Reactive measurements, including injury rates and sickness absence are reported via the Business Management Review process and to SHEC through Quarterly and Year End Reports.

The Finance Directorate's Business Plans from 2006/07 onwards contain HSE Objectives.

5. Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.

A programme of risk assessments, updated annually, addresses workplace and specialist risk assessments. The programme is largely executed by Corporate HSE Advisors within Group HSE although some specialist risk assessment support takes place within the larger departments of the Directorate.

6. Meetings

A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.

Work is in hand with Group Employee Relations to optimise consultation as it relates to HSE and to put into place machinery that delivers closer working with trade union partners and compliance with the 1977 and 1996 Regulations.

7. Incident Reporting and Investigation

All incidents are reported and investigated, in line with the HSE MS procedure, to identify root cause and corrective action.

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, an electronic Accident and Incident Report, made available on SOURCE, should be completed and emailed to the Corporate HSE Advisor. Full compliance with electronic reporting is yet to be achieved across the Mode. Investigations of incidents take place where warranted and actions closed out in an auditable manner.

8. Assuring HSE Performance

An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.

The first Corporate Directorates HSEMS audit, performed by external auditors Det Norske Veritas (DNV), occurred in Quarter 4 2006/07. The audit findings are detailed in a separate report, the recommendations from which will inform the provision of further support to the implementation of the HSE management system, particularly through the further engagement of line managers.

9. Procurement Management

Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.

Goods, Works and Services are currently procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard, contractual requirement.

10. Actions from Review of Management System

The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings

The Corporate Directorate HSEMS requirements have been reviewed against those contained within the TfL Group HSEMS in Quarter 3 2006/07. The findings have been incorporated into future revisions of the Corporate Directorate HSEMS.

PART 2

Finance's Specific HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each of the Directorates, these are addressed below for Finance.

Incorporate TfL strategic environmental targets within the TfL performance score card

Following a baseline exercise, targets and projections are being set by Group Business Planning and Performance (GBPP)

Summarise HSE objectives within the TfL business plan.

HSE Objectives continue to feature in the business plan.

Take heed of HSE matters when determining allocation of funds

This is addressed within the business planning process.

Corporate Directorates Chief Officer's HSE Assurance Letters

Group Marketing and Communications

To: The Commissioner / The Safety Health and Environment Committee

Subject: HSE Management System Letter of Assurance
for Group Marketing and Communications

Date: July 2007

Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for the Corporate Directorates within Group Marketing and Communications thereby giving assurance to The Commissioner/SHEC of my personal commitment to the management of HSE in line with TfL's HSE Policy.

Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of Group Marketing and Communications during the reporting year 2006/07:

I confirm that the attached statements in Part 1 and those in Part 2 reflect the status of compliance of Group Marketing and Communications with the Corporate Directorate's HSE MS requirements and where compliance is not achieved indicate the corrective actions planned.

Submitted by:

Name
Title,

PART 1:

Group Marketing and Communications 'General' HSE Responsibilities

1. HSE Policy

The TfL Group HSE Policy has been adopted, along with a business specific HSE policy statement, and communicated to all employees.

The TfL Group HSE Policy Statement was revised in August 2006 and issued to all Directorates for communication. It is available on notice boards and via 'Source', and is provided to new employees as part of the Corporate Welcome, with further work programmed to communicate the policy.

2. HSE Management Systems

HSE Management Systems (HSEMS) are implemented in accordance with the criteria laid down in the TfL Group HSE Management System and cover all business activities.

The current suite of standards and procedures that comprise the TfL Corporate HSE Management System are 'in place' and implement the Group HSEMS. In 2006/07 two new standards relating to Occupational Driving and Personal Protective Equipment (PPE) have been introduced.

3. Management Competence

Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.

The 'responsibility matrix' in the HSEMS summarises key HSE responsibilities for employees. HSE competencies have not been defined. Job Descriptions do not address HSE competencies or cross-reference the Responsibilities Matrix.

Business Plans include work to build up HSE competencies

4. HSE Objectives / Key Performance Indicators

HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.

No Key Performance Indicators or targets have as yet been set to monitor performance against objectives. Reactive measurements, including injury rates and sickness absence are reported via the Business Management Review process and to SHEC through Quarterly and Year End Reports.

Group Marketing and Communications Directorate's Business Plan from 2006/07 onwards contain HSE Objectives.

5. Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.

A programme of risk assessments, updated annually, addresses workplace and specialist risk assessments. The programme is largely executed by Corporate HSE Advisors within Group HSE although some specialist risk assessment support takes place within the larger departments of the Directorate.

6. Meetings

A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.

HSE performance is reviewed within operational parts of Group Marketing and Communications where consultation and communication with employees also takes place.

Work is in hand with Group Employee Relations to optimise consultation as it relates to HSE and to put into place machinery that delivers closer working with trade union partners and compliance with the 1977 and 1996 Regulations.

7. Incident Reporting and Investigation

All incidents are reported and investigated, in line with the HSE MS procedure, to identify root cause and corrective action.

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, an electronic Accident and Incident Report, made available on SOURCE, should be completed and emailed to the Corporate HSE Advisor. Full compliance with electronic reporting is yet to be achieved across the Mode. Investigations of incidents take place where warranted and actions closed out in an auditable manner.

8. Assuring HSE Performance

An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.

The first Corporate Directorates HSEMS audit, performed by external auditors Det Norske Veritas (DNV), occurred in Quarter 4 2006/07. The audit findings are detailed in a separate report, the recommendations from which will inform the provision of further support to the implementation of the HSE management system, particularly through the further engagement of line managers.

9. Procurement Management

Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.

Goods, Works and Services are currently procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard, contractual requirement.

10. Actions from Review of Management System

The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings

The Corporate Directorate HSEMS requirements have been reviewed against those contained within the TfL Group HSEMS in Quarter 3 2006/07. The findings have been incorporated into future revisions of the Corporate Directorate HSEMS.

PART 2:

Group Marketing and Communications Specific HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each of the Directorates.

Currently, the Corporate Directorates HSE Management System does not contain requirements for Group Marketing and Communications Directorate's wider HSE responsibilities. An important 'wider responsibility' commitment within the Group Marketing and Communications 2007/08 Business Plan may be noted:

- Work closely with relevant TfL businesses to ensure HSE matters are appropriately and effectively communicated to internal external stakeholders. The main responsibility for determining the need for, appropriateness of, and scope of such activity lies with the relevant TfL business.

Corporate Directorates Chief Officer's HSE Assurance Letters

Group Services

To: The Commissioner / The Safety Health and Environment Committee

Subject: HSE Management System Letter of Assurance
for Group Services

Date: July 2007

Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for the Corporate Directorates within Group Services thereby giving assurance to The Commissioner/SHEC of my personal commitment to the management of HSE in line with TfL's HSE Policy.

Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of Group Services during the reporting year 2006/07:

I confirm that the attached statements in Part 1 and those in Part 2 reflect the status of compliance of Group Services with the Corporate Directorates HSE MS requirements and where compliance is not achieved indicate the corrective actions planned.

Submitted by:

Name
Title,

PART 1

Group Services 'General' HSE Responsibilities

1. HSE Policy

The TfL Group HSE Policy has been adopted, along with a business specific HSE policy statement, and communicated to all employees

The TfL Group HSE Policy Statement was revised in August 2006 and issued to all Directorates for communication. It is available on notice boards and via 'Source', and is provided to new employees as part of the Corporate Welcome, with further work programmed to communicate the policy.

2. HSE Management Systems

HSE Management Systems (HSEMS) are implemented in accordance with the criteria laid down in the TfL Group HSE Management System and cover all business activities.

The current suite of standards and procedures that comprise the TfL Corporate HSE Management System are 'in place' and implement the Group HSEMS. In 2006/07 two new standards relating to Occupational Driving and Personal Protective Equipment (PPE) have been introduced.

3. Management Competence

Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.

The 'responsibility matrix' in the HSEMS summarises key HSE responsibilities for employees. HSE competencies have not been defined. Job Descriptions do not address HSE competences or cross-reference the Responsibilities Matrix.

Business Plans include work to build up HSE competencies

4. HSE Objectives / Key Performance Indicators

HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.

No Key Performance Indicators or targets have as yet been set to monitor performance against objectives. Reactive measurements, including injury rates and sickness absence are reported via the Business Management Review process and to SHEC through Quarterly and Year End Reports.

Group Services Directorate's Business Plan from 2006/07 onwards contain HSE Objectives.

5. Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.

A programme of risk assessments, updated annually, addresses workplace and specialist risk assessments. The programme is largely executed by Corporate HSE Advisors within Group HSE although some specialist risk assessment support takes place within the larger departments within the Directorate.

6. Meetings

A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.

HSE performance is reviewed within operational parts of Group Services where consultation and communication with employees also takes place.

Work is in hand with Group Employee Relations to optimise consultation as it relates to HSE and to put into place machinery that delivers closer working with trade union partners and compliance with the 1977 and 1996 Regulations.

7. Incident Reporting and Investigation

All incidents are reported and investigated, in line with the HSE MS procedure, to identify root cause and corrective action.

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, an electronic Accident and Incident Report, made available on SOURCE, should be completed and emailed to the Corporate HSE Advisor. Full compliance with electronic reporting is yet to be achieved across the Mode. Investigations of incidents take place where warranted and actions closed out in an auditable manner.

8. Assuring HSE Performance

An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.

The first Corporate Directorates HSEMS audit, performed by external auditors Det Norske Veritas (DNV), occurred in Quarter 4 2006/07. The audit findings are detailed in a separate report, the recommendations from which will inform the provision of further support to the implementation of the HSE management system, particularly through the further engagement of line managers.

9. Procurement Management

Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.

Goods, Works and Services are currently procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard, contractual requirement.

10. Actions from Review of Management System

The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings

The Corporate Directorate HSEMS requirements have been reviewed against those contained within the TfL Group HSEMS in Quarter 3 2006/07. The findings have been incorporated into future revisions of the Corporate Directorate HSEMS.

PART 2

Group Services Specific HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each of the Directorates, these are addressed below for Group Services.

Policy and process to address employee HSE competency at the recruitment stage and record competence requirements within job descriptions and employee specifications have been provided.

Work to ensure HSE competencies meet the HSEMS 'responsibility matrix' was included within the Group Services 2006/07 Business Plan. The new Manager Induction training and materials which are issued to all employees appointed as managers (either new to TfL or new to role) include a section dedicated to HSE which details HSE competence, risk assessment, communication and consultations, incident management and monitoring of HSE performance. Job Descriptions do not define HSE competences or cross-reference the HSEMS Responsibilities Matrix. Addressing HSE competence issues is included within Group Services 2007/08 Business Plan.

Appropriate employee communications and consultation arrangements are in place in accordance with legal and HSEMS requirements

Further work to communicate the HSE Policy Statement through local line manager induction has been noted to HR Business Partners and is captured in the Group Services 2007/08 Business Plan. The issue of HSE consultation has also been identified to HR Business Partners and is captured in the Group Services 2007/08 Business Plan.

Group Property and Facilities policies and procedures address HSE issues, providing safe working environments, specifically;

- **Safe plant and machinery**
- **building specific HSE information for employees including emergency plans**
- **Cooperation and coordination on HSE matters at multi-occupancy sites**

Group Property and Facilities (GPF) have written policies and procedures to support existing Standards within the Corporate Directorates HSE Management System and otherwise to address GPF-specific issues not covered within the existing suite of HSE Management System Standards.

HSE risks are minimised and HSE benefits are maximised through the procurement process

TfL Procurement is aligned to a consistent set of Standing Orders, one procurement policy and processes. Mode-specific procurement standards and procedures are applied to meet business specific needs. Group HSE and Group Procurement have produced a guidance document to cover the complete procurement lifecycle. Group Procurement will continue to work closely with HSE to ensure that the guidance document is maintained in line with UK/EU legislation, and amendments to the Group Procurement process and related company policies.

General Counsel

To: The Commissioner / The Safety Health and Environment Committee

Subject: HSE Management System Letter of Assurance
for General Counsel

Date: July 2007

Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for the Corporate Directorates in General Counsel thereby giving assurance to The Commissioner/SHEC of my personal commitment to the management of HSE in line with TfL's HSE Policy.

Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of General Counsel during the reporting year 2006/07:

I confirm that the attached statements in Part 1 and those in Part 2 reflect the status of compliance of General Counsel with the Corporate Directorates HSE MS requirements and where compliance is not achieved indicate the corrective actions planned.

Submitted by:

Name
Title,

PART 1

General Counsel 'General' HSE Responsibilities

1. HSE Policy

The TfL Group HSE Policy has been adopted, along with a business specific HSE policy statement, and communicated to all employees

The TfL Group HSE Policy Statement was revised in August 2006 and issued to all Corporate Directorates for communication. It is available on notice boards and via 'Source', and is provided to new employees as part of the Corporate Welcome, with further work programmed to communicate the policy.

2. HSE Management Systems

HSE Management Systems (HSEMS) are implemented in accordance with the criteria laid down in the TfL Group HSE Management System and cover all business activities.

The current suite of standards and procedures that comprise the TfL Corporate HSE Management System are 'in place' and implement the Group HSEMS. In 2006/07 two new standards relating to Occupational Driving and Personal Protective Equipment (PPE) have been introduced.

3. Management Competence

Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.

The 'responsibility matrix' in the HSEMS summarises key HSE responsibilities for employees. HSE competencies have not been defined. Job Descriptions do not address HSE competencies or cross-reference the Responsibilities Matrix.

Business Plans include work to build up HSE competencies

4. HSE Objectives / Key Performance Indicators

HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.

No Key Performance Indicators or targets have as yet been set to monitor performance against objectives. Reactive measurements, including injury rates and sickness absence are reported via the Business Management Review process and to SHEC through Quarterly and Year End Reports.

General Counsel Directorate's Business Plan from 2006/07 onwards contains HSE Objectives.

5. Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.

A programme of risk assessments, updated annually, addresses workplace and specialist risk assessments. The programme is largely executed by Corporate HSE Advisors within Group HSE.

6. Meetings

A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.

Work is in hand with Group Employee Relations to optimise consultation as it relates to HSE and to put into place machinery that delivers closer working with trade union partners and compliance with the 1977 and 1996 Regulations.

7. Incident Reporting and Investigation

All incidents are reported and investigated, in line with the HSE MS procedure, to identify root cause and corrective action.

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, an electronic Accident and Incident Report, made available on SOURCE, should be completed and emailed to the Corporate HSE Advisor. Employee awareness of the electronic reporting requirement continues to improve but full awareness is yet to be achieved due to the numbers of contractors working across the Mode. Investigations of incidents take place where warranted and actions closed out in an auditable manner.

8. Assuring HSE Performance

An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.

The first Corporate Directorates HSEMS audit, performed by external auditors Det Norske Veritas (DNV), occurred in Quarter 4 2006/07. The audit findings are detailed in a separate report, the recommendations from which will inform the provision of further support to the implementation of the HSE management system, particularly through the further engagement of line managers.

9. Procurement Management

Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.

Goods, Works and Services are procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard contractual requirement.

10. Actions from Review of Management System

The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings

The Corporate Directorate HSEMS requirements have been reviewed against those contained within the TfL Group HSEMS in Quarter 3 2006/07. The findings have been incorporated into future revisions of the Corporate Directorate HSEMS.

PART 2

General Counsel Specific HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each of the Directorates, these are addressed below for General Counsel.

Support the development of HSE policy and strategy

The Group TfL HSE Policy Statement was revised and signed off by the Commissioner, SHEC and the Chief Officers in August 2006. The Policy Statement has been communicated to the modal senior managers and adopted as the sole TfL HSE Policy Statement.

The TfL Group HSEMS was signed off by the TfL Board in July 2004, setting a structure for all HSEMS across TfL and implementing the Group HSE Policy. The Corporate Directorates HSEMS has been reviewed against the TfL Group HSEMS which was itself reviewed in August 2006.

Maintain a process for providing assurance to the TfL Board

The primary means of assurance to the Board is through the Safety Health and Environment Committee (SHEC) that addresses TfL HSE performance on behalf of the Board. Corporate Governance and Secretariat and Group HSE work together to ensure delivery of aligned modal HSEMS and Quarterly reports to SHEC detailing incident trends, audit activity, sickness absence and HSEMS status updates. An HSEMS audit has been developed with the modal HSE teams. The first audit of the Group HSE MS, performed by external auditors Det Norske Veritas (DNV), occurred in Quarter 4 2006/07. The audit findings are detailed in a separate report, the recommendations from which will inform the provision of further support to the implementation of the HSE management system, particularly through the further engagement of line managers. Additionally, from time to time, Internal Audit has carried out audits where health and safety themes have arisen within wider topic areas. In such cases, Group HSE has provided the necessary competent support and guidance.

An HSE Assurance Letters process has been developed and implemented by all modes.

Keep up to date with new and changing HSE legislation

General Counsel maintains and chairs the Consultations Response Group (CRG) which Group HSE attends as a 'special interest member'. The role of the CRG is to consult with representatives across TfL on forthcoming and proposed legislative change and provide a TfL response.

Assess compliance with HSE legislation

General Counsel undertakes a sixth monthly legal compliance review where Chief Officers are required to sign off against any known breaches or enforcement action relating to HSE legislation. This is reported to SHEC.

Maintain HSE legal support

The Dispute Resolution Team within TfL Legal Services provides HSE legal support.

Communicate TfL HSE strategic objectives using the Business Planning Guidelines.

Strategic objectives for HSE are set in the Business Planning Guidelines.

Set objectives that are consistent with the mayoral environmental strategies and reviewed annually

Strategic objectives for health and safety are set by Group HSE and Group Transport Policy and Planning (GTPP) coordinate the setting of environmental objectives. As of the beginning of 2006/07 responsibility for setting environmental objectives passed from GTPP to Group HSE.

Collate information on the progress against environmental objectives for reporting to SHEC

Progress against environmental objectives is reported to SHEC and the GLA via the TfL annual Sustainable Development budget report for the GLA.

Report environmental performance in the TfL annual report and as part of the annual HSE performance report to SHEC

This is done and recorded in SHEC papers and minutes.

Corporate Directorates Chief Officer's HSE Assurance Letters

Planning

To: The Commissioner / The Safety Health and Environment Committee

Subject: HSE Management System Letter of Assurance
for Finance and Planning

Date: July 2007

6. Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for the Corporate Directorates in Planning and thereby giving assurance to The Commissioner/SHEC of our personal commitment to the management of HSE in line with TfL's HSE Policy.

7. Status of HSE Management Systems

During 2006/07 as part of a wider re-organisational change within TfL the Planning Directorate was formed from component parts migrating from Group Finance and Planning and Group Marketing and Communications. This HSE Assurance Statement relates to the business activities of the Planning constituents from predecessor parts of TfL during the reporting year 2006/07:

We confirm that the attached statements in Part 1 and those in Part 2 reflect the inherited status of compliance of Planning to the Corporate Directorates HSE MS requirements and, where compliance is not achieved, indicate the corrective actions planned.

Submitted by:

Name: Michèle Dix
Title: Managing Director, Planning

Name: Malcolm Murray-Clark
Title: Managing Director, Planning

PART 1

Planning 'General' HSE Responsibilities

1. HSE Policy

The TfL Group HSE Policy has been adopted, along with a business specific HSE policy statement, and communicated to all employees

The TfL Group HSE Policy Statement was revised in August 2006 and issued to all Directorates for communication. It is available on notice boards and via 'Source', and is provided to new employees as part of the Corporate Welcome, with further work programmed to communicate the policy.

2. HSE Management Systems

HSE Management Systems (HSEMS) are implemented in accordance with the criteria laid down in the TfL Group HSE Management System and cover all business activities.

The current suite of standards and procedures that comprise the TfL Corporate HSE Management System are 'in place' and implement the Group HSEMS. In 2006/07 two new standards relating to Occupational Driving and Personal Protective Equipment (PPE) have been introduced.

3. Management Competence

Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.

The 'responsibility matrix' in the HSEMS summarises key HSE responsibilities for employees. HSE competencies have not been defined. Job Descriptions do not fully address HSE competencies or cross-reference the Responsibilities Matrix.

Business Plans include work to build up HSE competencies

4. HSE Objectives / Key Performance Indicators

HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.

No Key Performance Indicators or targets have as yet been set to monitor performance against objectives. Reactive measurements, including injury rates and sickness absence are reported via the Business Management Review process and to SHEC through Quarterly and Year End Reports. Some teams have set and fulfil the objective to highlight HSE objectives and issues during team meetings, and most teams have Environment champions and implement related initiatives.

The Planning Directorate's Business Plan for 2008/09 onwards contain HSE Objectives, some of which are intended to be addressed during 2007/08.

5. Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.

A programme of risk assessments, updated annually, addresses workplace and specialist risk assessments. The programme is largely executed by Corporate HSE Advisors within Group HSE although some specialist risk assessment support takes place within the larger departments within the Directorate.

6. Meetings

A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.

Work is in hand with Group Employee Relations to optimise consultation as it relates to HSE and to put into place machinery that delivers closer working with trade union partners and compliance with the 1977 and 1996 Regulations.

7. Incident Reporting and Investigation

All incidents are reported and investigated, in line with the HSE MS procedure, to identify root cause and corrective action.

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, an electronic Accident and Incident Report, made available on SOURCE, should be completed and emailed to the Corporate HSE Advisor. Full compliance with electronic reporting is yet to be achieved across the Mode. Investigations of incidents take place where warranted and actions closed out in an auditable manner.

8. Assuring HSE Performance

An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.

The first Corporate Directorates HSEMS audit, performed by external auditors Det Norske Veritas (DNV), occurred in Quarter 4 2006/07. The audit findings are detailed in a separate report, the recommendations from which will inform the provision of further support to the implementation of the HSE management system, particularly through the further engagement of line managers.

9. Procurement Management

Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.

Goods, Works and Services are currently procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard, contractual requirement.

10. Actions from Review of Management System

The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings

The Corporate Directorate HSEMS requirements have been reviewed against those contained within the TfL Group HSEMS in Quarter 3 2006/07. The findings have been incorporated into future revisions of the Corporate Directorate HSEMS.

PART 2

Planning's Specific HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each of the Directorates, these are addressed below for Planning.

Set objectives that are consistent with the mayoral environmental strategies and reviewed annually

Strategic objectives for health and safety are set by Group HSE and Group Transport Policy and Planning coordinate the setting of environmental objectives. As of the beginning of 2006/07 responsibility for setting environmental objectives passed to Group HSE in General Counsel.

Address HSE risks in a systematic manner in the Major Business Project Unit

The Major Projects Business Unit is systemising its approach to HSE management within the overall context of the Corporate Directorates HSEMS.

Address HSE risks in a systematic manner in Borough Partnerships

Where Planning are responsible for plans or a programme of projects, notably with the boroughs in the LIPs and BSP processes, they will ensure relevant HSE standards are integrated into the appropriate guidance, criteria and appraisal.

TRANSPORT FOR LONDON
SAFETY HEALTH ENVIRONMENT COMMITTEE (SHEC)

SUBJECT: London Underground (LU) Quarterly SHEC Report

MEETING DATE: 5th July 2007

Purpose

To inform members of the key health, safety and environment (HSE) matters during the last Quarter.

Decision Required

None.

Background

A full report on HSE activities and performance is produced annually. These quarterly reports are to update the Committee on any significant matters from the reporting quarter.

Information

Executive Summary

What went well

- London Underground's (LU's) application for safety certification and authorisation under the Railway and Other Guided Transport System (Safety) Regulations 2006 (ROGS) submitted in November 2006 was assessed by HMRI and approved in March 2007.
- The new London Underground Rule Book was launched to Centurion Managers; the packs and rule books are now being distributed throughout the business.
- The following safety key performance indicator targets were met: number of employee fatalities; platform train incidents; confirmed fires (reduction achieved in 2005/6 maintained)
- The reduction in the number of staff off work due to back pain, sickness, anxiety and depression has been sustained for one year.
- 27 health fairs were successfully completed with positive feedback from staff.
- LU achieved no overdue improvement actions for 10 periods in 2006/7. The number of overdue actions on Metronet has significantly reduced from 50 at the end of Q3 to 12 at the end of Q4. Tubelines has reduced the total number of overdue actions to 1, the lowest for two years.

- Metronet made very significant reductions in the numbers of Sub-Standard Track Conditions (SSCs).
- 2006/7 had the lowest number of lift hand and/or power winding incidents (107) in 10 years. An average of 8 per period compared to 15 (2005/6; 14 2004/5)
- The number of falls on escalators reduced by 13% (143 incidents) throughout 2006/7.
- An improvement in the number of broken rails across the network (22; 35% reduction) compared to 34 in 2005/6.
- The reduction in the number of derailments year on year continued, it has now been 36 months since the last in service derailment.
- A significant reduction (54% 92 incidents) in the number of safety on the track incidents was seen throughout 2006/7 compared to 2005/6 – this is the lowest since 2001/2.
- 2006/7 is the 6th year with no contractor fatalities.
- In 2006/7 the stations energy saving target of 22.5% was exceeded (27.9%)
- The number of noise and vibration complaints received during 2006/7 was 9% fewer than 2005/6
- The recycling target for 2006/7 of 30% was exceeded (31.4%).
- The scores achieved in the trains and stations operations audits were met (69%) and exceeded respectively (71% compared to 70).
- No regulatory notices from HMRI were received. This is the first time this has been achieved.

Areas for Improvement

- The following safety key performance indicator targets were not met; number of Employee Major Injuries; lost time injuries; incorrect door operation; LFEPA regulatory notices received; Signals Passed at Danger.
- Metronet need to ensure that newly discovered track non-compliance is promptly regularised and mitigation / remedial works planned.
- Metronet track maintenance audit identified weaknesses in arrangements for managing safety related routine/planned track maintenance activities. An action plan has been received from Metronet and is currently being reviewed.
- For the first time this year, there was an increase in the proportion of instructor operators, train operators and station supervisors taking time off for stress, anxiety and depression although the total days lost for these reasons is still reduced for train operators, indicating that the episodes are much shorter than in the equivalent quarter last year
- The number of Physical incidents of workplace violence has increased by 12% (13) compared to last year. While the reported incidents involving ticket touts have increased by 30%
- LU continues to experience difficulty in getting accurate data on electricity consumption at depots.

4.1.3 Significant Plans for Next Quarter

- Development of British Transport Police crime statistics and performance measures for inclusion on the performance scorecard. Design of questions for

incorporation into the next Speak Up to measure levels of support being provided to staff.

- Running of a pilot course for implementation of best practice for determining root causes during local incident investigation.

Progress against LU Safety Improvement Plan (SIP)

Objective 1: Reduce priority residual risks to as low as reasonably practicable

Oversight of the Metronet and Tube Lines track improvement programme

- LU continues to monitor the Tube Lines and Metronet track improvements as they enter the third year of the planned 5 year programme. Metronet have made significant reductions in the numbers of Sub-Standard Conditions (SSCs) however they need to ensure that newly discovered non-compliance is promptly regularised and mitigation / remedial works planned. Tube Lines have higher volumes of SSCs than 2 years ago, this is due predominantly (but not entirely) to improvements in track inspections in particular their development of an annual Asset Condition Inspection (ACI); many of TLL SSCs are lower risk (benign) faults. Despite the high levels of SSCs, TLL have retained control of the situation with prompt regularisation of discovered non-compliance. Both Infracos must ensure that they continue to work to meet the aim of Phase B - the reduction of Sub-Standard Conditions to negligible levels by May 2010 - they have three years left to achieve this.
- Signal sighting improvement work on the Circle and Hammersmith and Jubilee lines has been completed. The testing and commissioning of the final signal in the programme on the Piccadilly Line is due to be completed by the end of April 2007. The suggested solution for the District line does not meet London Underground Technical Standards; work is progressing to find an alternative solution, with a new proposal already in place.
- Signal sighting improvement work on BCV has not yet started. An agreed programme of work has been submitted to Metronet for the Central and Bakerloo lines following a delay in reaching a contractual agreement. A 6 week trial will begin within the next month looking at LED signals being used in Bakerloo tunnels. (The signal initially selected is A395 Baker St - Regents Park). The Metronet tender process for the work on both the Bakerloo and Central lines started in January; quotes from Metronet are still outstanding.
- The review of current SPAD processes has been completed and an improvement programme focussing on recruitment and training has been developed.
- Workplace Violence
- The action in place to assist managers in providing earlier support to staff suffering assault is coming to a conclusion. The initial programme of training was completed at the end of 2006. However, to ensure that a manager is available on each station group who has attended the 'Managing Workplace Violence' training, a

follow-up session was held on 03/04/06. Trainers from the Operational Learning team also attended the follow-up session in order to enable further follow-up sessions to be provided.

- To encourage the re-focusing of operations managers' performance goals and the development of a more supportive culture, the Workplace Violence Unit Manager is working towards the inclusion of BTP crime statistics on the performance scorecard. In addition, questions are being designed for incorporation into the next Speak Up planned for June 2007 to measure levels of support. .
- Following a successful trial, planning is now underway for consultation on the use of a new reporting form for staff assaults. Discussions are also being held on how the new form will be adapted for use with EIRFs and the new LUSEA safety analysis database.
- Risk Assessment Model and Processes
- Following a review of the LU Quantified Risk Assessments (QRA) for the delivery of 3 models (Collision between train, Collision with Hazard, and Derailment), the responsible manager has introduced a new programme for the review of the outstanding models, which has placed additional actions on managers who have a significant contribution to the process. The programme has been submitted to the Directors Assurance Review Team (DART) for agreement, and the new way forward has been accepted.
- ED are progressing a realistic figure for air flow when trains are stalled in sections to enable completion of the ventilation hazard review.

Objective 2: Ensure security arrangements are strengthened as far as reasonably practicable

Progress against this confidential element of the programme is reported separately through the overview database

Objective 3: Continue to streamline health and safety standards and assurance arrangements

Railway Safety legislation

- LU submitted an application for safety certification and authorisation to the HMRI under the Railways and Other Guided Transport System (Safety) Regulations 2006 (ROGS) in November 2006. HMRI completed their assessment of LU submission in February 2007 and approved it in March 2007.

HSEMS Review

- The recommendations arising from the review of the Health, Safety and Environmental Management System continue to be implemented against a programme that runs through to September 2007. Discussions are currently underway to find the best way of incorporating the new CDM regulations into the London Underground Standards, taking into account the contractual interfaces with Tube Lines, Metronet and other providers.

Comparative indices of accident precursors

- To allow London Underground to compare its performance against other Metros and identify areas of best practice, LU is a member of the Community of Metros, CoMet. LU SQE submitted comparison data to CoMet in July 2006. However, following a delay, the report detailing the findings was not received until March 2007. The LU SQE Specialist Manager is now reviewing the report in order to identify any actions that might be required and develop a programme accordingly.

Disability Equality Scheme

- The report 'Enabling London Action Plan', which has been produced as a result of TfL's consultation on its Disability Equality Scheme, was launched by TfL in March 2007. The report summarises the results of the consultation and the actions and work programmes which TfL is proposing to undertake in this area. (The late launch of this report has delayed this action) LU SQE received a copy of this report in April 2007; A gap analysis of respondents safety and security requirements against LU current and planned provisions is currently being undertaken.

Objective 4: Further enhance the health and safety competencies of LU managers and staff

Incident Investigation

- Development of a training course to ensure the implementation of best practice during incident investigation is almost complete; the first pilot course is planned for May 2007. The identification of those who will be required to attend this training is now underway.
- A training / coaching module has been developed for Duty Managers to improve Incident Reporting Form completion training. Following approval, discussions will be held with Operational Learning for inclusion in Duty Manager Operational Training and Professional Development Training. Once approved, the Safety Quality and Environmental teams will then cascade the coaching out to Duty Managers.

Implementation of the LU Rule Book

- The new London Underground Rule Book was formally launched to Centurion Managers on 22 February 2007 by the Operational Standards Manager. The launch outlined details of the development of the books and how staff are to be briefed and the books rolled out during April and May 2007. Additionally, a competition is being launched to incentivise staff to read the briefing material.

Competence Management

- All work towards the development of a generic competence management processes, which includes documents and standards, is now complete albeit some minor issues surrounding consultation remain outstanding in the service control area. However, this has not impacted on the completion of phase 1, 2 and 3 of the programme.

Health of the Management System

- London Underground has once again achieved no overdue improvement actions this has been achieved in 10 periods in 2006/7.
- Tubelines have reduced the total number of overdue actions to one, the lowest reported for at least two years. The overdue action relates to the installation of rollback protection on the Jubilee line fleet.
- The total number of overdue actions on Metronet has significantly been reduced from 50 at the end of Q3 to 12 at the end of Q4. The overdue actions relate to Metronet Investigation Report recommendations (6) and 4 actions arising from the Metronet Emergency Direction Notice for permanent way assurance. Metronet has 27 actions with an amber status (double the number reported in the last quarter); these actions that have been subject to review by the Metronet change process and new completion dates allocated.
- Trends in performance for Stations and Trains Operations Audits show a consistent performance for trains (69%) and a slight improvement compared to target (70%) for stations (71%) for the year. This is a significant achievement given the amount of work being undertaken on the railway and due to the changes to the audits made at the beginning of the year resulting in them being more extensive and challenging.
- Overall the number of staff undertaking block training (refresher training) for customer service assistants, station supervisors and train operators was not to target, with sickness and staff shortages being the main reasons

HSE Performance Statistics

Health

- There was improvement in the number of days lost due to back pain and sickness absence for stress, anxiety and depression compared to the same quarter last year. The improvements have now been sustained over a year and are likely to reflect several things:
 - normalisation following the events of July 2005,
 - increased focus on attendance, making reasonable adjustments and managing staff back to work as quickly as possible
 - high demand for and use of stress reduction groups
 - success of “hot spot” work at several locations including Barking train depot and Kings Cross Station group
 - Improved management absence, improved use of physiotherapy service and more use of planned rehabilitation back to work.

However, for the first time this year, a striking and very disappointing increase in the proportion of instructor operators, train operators and station supervisors taking time off for stress, anxiety and depression although the total days lost for these reasons is still reduced for train operators, indicating that the episodes are much shorter than in the equivalent quarter last year.

- 225 drug and alcohol tests were undertaken in the quarter with two positive alcohol results. (One each on the Jubilee and Piccadilly lines)

4.4.2 Safety

- The following safety key performance indicator targets were met: number of employee fatalities; platform train incidents; confirmed fires (reduction achieved in 2005/6 maintained); The following safety key performance indicator targets were not met; number of Employee Major Injuries; lost time injuries; incorrect door operation; London Fire and Emergency Planning Authority (LFEPA) Regulatory notices received; Signals Passed at Danger.
- Category A' SPADs increased by 16% to 699 from last years' total of 588. The SKPI target of 581 was exceeded during Period 11. 'Category B' SPADs increased by 25% to 249 from last years' total of 187. The SKPI target of 181 was exceeded during Period 10.
- There were 30 LFEPA inspections this quarter with no section 12 contraventions. There have been no regulatory notices received from HMRI in 2006/7. This first time this has occurred.
- There have been an average 52 reported Platform train Interface incidents per period in 2006/7 passenger behaviour remains a significant factor, with person caught in train doors the main contributor (33% of all PTI incidents). 2006/7 has also been a record year for passenger journeys which is a contributory factor to the number of incidents.
- The workplace violence fourth quarter figure of 418 reported incidents is down by 51 compared to the 2005/06 fourth quarter figure of 469. This represents a decrease of 11% due to fewer verbal abuse and threat incidents. However the number of physical incidents reported for quarter 4 has increased by 12% (13) compared to the number for last year. While the reported incidents involving ticket touts have increased by 30%, the actual number (27 up to 35) is small.
- Overall, London Underground reported 2,167 incidents to HMRI (as defined by RIDDOR) this year. 1,855 (86%) of these were reported within 10-days, which compares with 1,752 (82%) for 2005/06 when 2,129 were reported, however further improvement is still required to reach the target of 95%.
- The number of falls on escalators increased at the end of 2005/6/beginning of 2006/7, this trend has been reversed throughout 2006/7 with the number of incidents falling from 1073 in 2005/6 to 930 in 2006/7, a 13.5% reduction. 72% of all incidents this quarter were due to slips and trips and falls.
- There were 32 major customer injuries (accidental) reported this quarter compared to 43 in Q3 2006/07 with two employee and one contractor injuries

4.4.3 Environment

- The 2006/07 energy saving target for stations was 22.5%. At the end of Q4, 27.9% energy savings had been achieved in 2006/07 against baseline figures. This corresponds to a saving of 13.8% in real terms since 2000.

The winners of the 2006/07 Station Energy Challenge were

Line	Bakerloo
Group	Charing Cross
Premiership Station	Charing Cross
Championship Station	Elephant & Castle
First Division Station	Chalk Farm
Second Division Station	Plaistow

- 93% of Premiership stations and 81% of Championship stations met the energy saving target in Period 13.
- The total number of environmental incidents reported in Q4 was 129, a reduction compared to the Q2 total (167 incidents) and Q4 2005/06 (140 incidents). The bulk of incidents occurred in P11 (71), of which the majority (50 incidents) were associated with adverse weather.
- The total number of N&V complaints received during 2006/07 (431 complaints) was 9% and 12% less than received in 2005/06 and 2004/05, respectively. Complaints associated with whistles and PAs have contributed an increasing proportion of noise and vibration complaints over the past year. Where complaints have been received, station staff and the PPP suppliers are checking PA settings.
- The total tonnage of waste generated at LU stations and depots (Commercial and Industrial waste) was significantly higher in Q4 compared to quarters 1 and 2. This could be due, in part, to the introduction of free afternoon newspapers in the city.
- The majority of actions within the Environmental Improvement Programme have been completed or are carried forward into the 2007/08 work plans.

4.5 Major Incidents

12th January 2007 - Trespass at Barking

- Two male bodies were discovered on the track at the exit from the siding. Their friends confirmed they were struck by a train. – Suspected vandalism

19th February 2007 - Trespass at Paddington

- The body of a dismembered female was found on the eastbound track east of the station.

Impact on Crime and disorder

Objective 2 of the LU Safety Improvement Plan ensures security arrangements are strengthened as far as reasonably practicable. LU Operational Security and the

British Transport Police (BTP) are working in partnership with the Crime and Disorder Partnership Unit to deliver the requirements of section 17 of the Crime and Disorder Act.

Impact on Sustainability

Actions to maintain and improve sustainability are included in our environmental action plan which is reported on by exception in Section 4.4.3.

Recommendation(s)

The Safety Health and environment Committee is recommended to NOTE the content of the report.

TRANSPORT FOR LONDON

SAFETY, HEALTH AND ENVIRONMENT COMMITTEE

SUBJECT: Surface Transport Quarter 4, 2006/2007 SHEC Report

MEETING DATE: 05 July 2007

1. Purpose

To inform Members of the key HSE matters during the last Quarter

2. Decision

None

3. Background

A full report on HSE activities and performance is produced annually. These quarterly reports are to update the Committee on any significant matters from the reporting quarter.

4. Information

4.1. WHAT WENT WELL

4.1.1. Surface Transport

- Streets and Surface "Public Transport" safety teams have merged to create a Surface Transport Safety Team.
- A total of 86 Surface Transport managers completed the British Safety Council level 2 courses. Anecdotal evidence has shown that there is a greater understanding of and willingness by managers to tackle day to day health and safety issues.

4.1.2. London Buses

- In accordance with an annual programme of work agreed in advance with LBSL, the LU Safety Audit Team undertook health and safety audits of 24 nominated staffed bus stations during 2006/07. The following were observed;
 - 19 of the 24 bus stations improved their overall score when compared with that of 2005/6
 - There was an improved consistency in good performance across the regions
 - "Emergency Planning" was the most improved section
- The Bus Operators' Health and Safety Audit Regime, which reviews the management of risk and competence standards, was concluded with all operators audited. In total, 144 recommendations were made across all bus operators, of these, 52% were scored as medium risk and 48% low risk.

The overall finding was that the majority of operators have established health and safety management arrangements, and had acted on recommendations made in the previous year's audit. The 2007/08 audit regime will be used to assess operators' progress towards completing recommendations of 2006/07 audits. In addition, the new round of audit regime will have increased emphasis on driver competence and risk management including route risk assessments.

- ATLAS, the bus incident reporting system, has been handed over to IM Support Team as a "Packaged Application". A "lessons learnt" session between the IM Project Team and the Safety Team has taken place.
- Presently, all garages are technically able to report incidents to TfL. This achievement is enhancing the Safety Team's ability to undertake incident analysis on the bus network.
- The fitment of engine bay fire suppression systems is now a standard requirement on all new buses and buses subject to refurbishment as part of any contract awards using existing vehicles. In addition, TfL has facilitated a retro-fit programme on Dennis Trident double deck vehicles with support from the bus operators and the bus manufacturer. This has seen fire suppression fitted to 1,000 additional buses during the last financial year. A further provision has been made in the 2007-08 budget to extend this by another 18%. These are expected to be fitted by the end of this financial year. Vehicles not included in this round are expected to be modified as part of an on-going refurbishment program.
- An agreement has been made to set up an LBSL chaired Bus Operator Health and Safety Forum to specifically review safety matters and share best practice across the bus network. Bus operators will nominate delegates to represent them at the forum.

4.1.3. Other Modes

- East Thames Buses (ETB) Engineering Quality Monitoring (EQM) results have continued to improve for the second quarter succession.
- ETB's customer injury rate fell this quarter. This is on the back of the average number of incidents reported decreasing from 134 incidents per million miles travelled last year to 122 incidents per million miles operated in 2006-07.
- TPED continues to benefit from the continued improvement in incident reporting standards achieved across the directorate.
- TPED has rolled out a new Safety Management System (SMS) to ensure it is in line with current legislative standards
- TPED, as part of its commitment to communicating H&S matters, has developed and launched an H&S web-based portal to provide staff with relevant reference materials, policies, reports and templates.
- London Trams (LT) defects tracking database is completed and is now being used for monitoring the reporting and progress of defect items. This will provide a coordinated approach to prioritising defects rectification particularly defects with high safety impact.
- LT reported that Tram Link Croydon Ltd (TCL) have completed the safety works required by the Office of Rail Regulator (ORR) Improvement Notices within the extended timescales allowed by the ORR. Formal sign off for the notices is now awaited.

- London River Service (LRS) have re-commissioned the Ramp Rider at Greenwich Pier aimed at providing disabled travellers with safe access/egress to and from the pier. It was necessary to decommission the ramp rider for a short period in order to carry out remedial works to improve its safety and security.
- Public Carriage Office (PCO) has commissioned independent contractors (SGS), to carry out taxi licensing inspections; a role that was formally fulfilled by PCO. Systems are being developed for monitoring and managing safety aspects of the contract, including the annual audit and planned inspections.

4.1.4. Streets

- A series of workshops to update senior managers on health and safety changes has been agreed and arrangements are being finalised.
- The CDM-Co-ordination function under the Construction (Design and Management) Regulations 2007 has been brought in-house for a number of projects/schemes under the new HMW contract ensuring a consistent approach to the retention of safety file information and management of safety on site.
- Built environment - streetscape pilot projects are continuing under the management of Road Network Development. Business plans are in preparation for three of the pilots, others will be taken forward as part of the network management plan process

4.2. AREAS FOR IMPROVEMENT

4.2.1. London Buses

- The need to enhance the incident reporting system has been identified. Group Safety Services will be working with colleagues in IM to address key recommendations from the “Lessons Learned” session carried out by the ATLAS Project Team. Steps taken should tackle areas of weakness identified by the Project Team, these included supportability and use of a web-based reporting solution.
- The Bus Operators’ Health and Safety Audit Regime has identified “Incident/Defect Reporting and Monitoring” and “Environment” as sections within the regime that provide the most opportunity for future improvement.
- An internal audit of Health and Safety Training for Operational Staff (ST) was carried out during the period. The interim report asserted that the current management and organisation of Health and safety training lacks structure. The newly created Safety Training Manager post will be taking forward key recommendations from the audit as part of their main responsibility around planning and coordinating HS&E training across ST.

4.2.2. Other Modes

- LBL has identified a need to get approval for the implementation of a process for managing asbestos; this is following a number of surveys at their depots.
- London Trams have indicated that the development of project procedures has been slower than hoped due to an over-commitment of resources. The resource problem has since been resolved and a Project Control Manager has been appointed who will review the procedures to ensure they are fit for purpose when projects are transferred to London Trams.
- London Trams has reported that TCL continues to fail to submit regular safety data to them. This is an issue raised with TCL’s managing directors who have reassured LT of improvements. Although some improvements were noticed in quarter three, they still fall below expectations. Further discussions are to be held with TCL to try to resolve this problem.

- TPED's Post Assault Management Techniques have been identified as needing further improvement. A plan is being put in place to address identified gaps and improve training for first line management.
- Victoria Coach Station (VCS) is undertaking a review of its SMS to ensure its continued suitability for operational and legal requirements.

4.2.3. Streets

- A need to further improve staff awareness of its Health, Safety and Environment Management System has been identified.
- Environmental performance reporting – Surface Transport has been able to supply more environmental data as part of this year's business planning round, although the quantity and quality of data from some contractors is disappointing. Reporting requirements have been written into Streets' new term maintenance contracts (starting April 2007) and will be a requirement in all relevant new contracts.

4.3. SIGNIFICANT PLANS FOR NEXT QUARTER

4.3.1. Surface Transport

- As part of the Chief Officer Assurance Letter process for 2007/2008, Surface Transport Safety Team will be working with respective directorates, business units and ST modes to seek assurance from senior management that;
 - the organisation / operations / risk have not changed significantly since the last audit or if they have, the impact that this has had
 - they are monitoring the implementation of the actions arising from the recommendations from the previous audit
 - they are satisfied that these actions are being progressed in a timely manner

This will culminate in the production of the letter covering public transport areas.

4.3.2. London Buses

- Surface Transport Safety Team will be working with IM Team and ATLAS Account Managers to investigate the possibilities of developing a web-based incident reporting tool. This will further enhance Network Operation's ability to review its safety performance.
- Surface Transport Safety Team will engage Kelvin TOPSET, an independent accident investigation consultancy, to carry out a review of bus operators' accident investigation processes. It is anticipated that this project will allow the development of industry wide accident investigation best practice.
- Surface Transport safety team is to expand by creating two new roles. The Head of Safety - Surface Transport, will take the strategic responsibility of aligning safety objectives across all the modes and the Safety Training Manager will help coordinate safety training to across Surface Transport.
- Surface Transport Safety Team are in the process of becoming a Registered Centre for delivering and administering the examination for the British Safety Council level 1 course. This will be aimed at front line staff and those who wish to gain a reasonable introduction to the subject.

4.3.3. Other Modes

- ETB's involvement in the iBus project will require risk assessments for operational activities relating to transferring buses to and from point of installation.
- VCS has put a training plan in place which will see all staff trained on Fire Awareness.
- VCS will be carrying out the annual review of its contingency plan for short and long term. This will ensure relevance and suitability of the plan.
- London Trams will be rolling out a staff training programme on the new CDM 2007 Regulations.
- London Trams are taking actions to re-draft Section 2 (Safety) of the Tramlink Performance Specification in light of changes to safety legislation. Changes are also planned for Section 9 (Performance) to include new safety and environmental reporting requirements.
- TPED will be taking steps to reduce assaults on Revenue Protection Staff through the introduction of its electronic reporting system and roll out of the Staff Assault Management guidance.
- TPED will develop and implement its Environmental Management system during the next quarter.
- PCO will be reviewing and assessing the feasibility of the marshalled taxi rank scheme at new locations during the next quarter.

4.3.4. Streets

- Development of processes to raise staff awareness of the HS&EMS procedures are underway.
- Deliver programme of audits across Streets Directorates in preparation for independent RoSPA audit planned for the next quarter.

4.4. PROGRESS AGAINST HEALTH AND SAFETY OBJECTIVES

- Health and Safety objectives for LBSL were reviewed by respective leads. Of the 47 individual objectives set, 37 (78%) were met during the year with the reminders carried forward to the new year. New objectives for 2007/08 have been agreed with clearly defined in-year monitoring and review arrangement to ensure improved performance.
- Objectives for other surface transport modes were also reviewed by respective modes in conjunction with appointed Safety Managers.

4.5. HSE PERFORMANCE

4.5.1. Safety

- The number of customer and employee major and minor incidents on London Buses' network was an average of 311 incidents reported per period (major incidents averaged 84, i.e.27% of total incidents per period). This figure remains relatively constant when compared with the previous quarter.

4.6. MAJOR INCIDENTS

4.6.1. London Buses' Major Incidents

Pedestrian Fatalities Involving Buses

There were five pedestrian fatalities involving buses during this quarter.

Bus-Pedestrian Collision on Route 436 (London General)

A female pedestrian was fatally injured following a collision with a Route 436 bus on Vauxhall Bridge on 1 January 2007. The bus was travelling on the southbound carriageway, in the offside bus lane, when it is understood that the driver blacked out. Police and ambulance attended and the pedestrian was pronounced dead at the scene. A relative accompanying the pedestrian suffered a minor injury. The driver was taken to Kings College Hospital for treatment. The incident continues under investigation.

Bus – Pedestrian Collision on Route PR1 (First London West)

A pedestrian was fatally injured following a collision with a bus on 7 January 2007. The driver reported travelling east along Coronation Road and passing through traffic lights at Abbey Road when he witnessed a pedestrian jumping in front of the bus, he was unable to take evasive action prior to the collision. The pedestrian was taken to Central Middlesex hospital where he later died from head injuries. Police are treating the incident as a possible suicide.

Bus – Pedestrian Collision on Route 77 (London General)

An out of service route 77 collided with three pedestrians resulting in one fatality on 4 February 2007. The driver stated that he was running light back to the garage and whilst moving off from traffic lights he coughed and lost control of the vehicle. He then realised that he had hit a pole on the footpath. At first he did not see any pedestrians on the footpath but then noticed two people had been injured and laying on the pavement. The operator's investigation into the incidents indicated that the driver was distracted by his coughing and the bus went wide without checking his near-side. The incident continues under investigation.

Bus – Pedestrian Collision on Route 261 (Metrobus)

A male pedestrian was fatally injured following a collision with a route 261 on 1 March 2007. The driver reported that he was proceeding towards Lewisham through the lights at Downham Way at a slow pace, keeping to the left hand lane. On approaching the traffic lights at Chinbrook Road, the driver reported that some children ran across in front of the bus and heard a thud on the windscreen and stopped the bus immediately. The driver then saw a walking stick and someone informed him that a man was under the bus. Neither police nor VOSA found any defect with the bus. The operator confirms that the police are not bringing charges against the driver as this was an unavoidable accident.

Bus – Pedestrian Collision on Route 333 (London General)

A route 333 bus travelling from Tooting Broadway to Elephant & Castle was involved in a fatal collision with a pedestrian on 09 March 2007. The operator advised Surface Transport Safety Team that the bus was proceeding correctly at an estimated speed of 22mph through a set of traffic lights which were on amber. The pedestrian ran diagonally from the opposite side of the road directly into the path of the bus and was knocked down at the front off-side of the bus and the front off-side wheels of the bus went over the pedestrian. The bus was taken by police for inspection. No allegations were made against the driver at present. The driver was taken to hospital suffering from shock and has subsequently been released. The incident continues under investigation.

Bus Fires

There were six reported incidents of fire on buses relating to either a mechanical or electrical defect during this quarter (there were nine incidents last quarter). All incidents have been investigated accordingly. The fires were contained in all cases and no injuries were reported to passengers or staff. Network Operations continues to take steps to reduce incidence of bus fire, these include the retro-fit of fire suppression systems to Dennis Trident buses as reported in section 4.1.2

4.6.2. Streets – Major Accidents and Incidents

An incident occurred on the A40 where a gas 'bleed pipe' fractured when struck by contractor's JCB whilst excavating highway, releasing gas to atmosphere (in excess of 500kg). Bleed pipe was encased in concrete just below road surface. Investigation showed that contractor's staff had not followed in-house 'permit to dig' procedures. Contractor introduced additional staff training through 'tool box' talks and closer supervision of permit procedure.

4.6.3. TRAMS – Major Accidents and Incidents

HMRI have taken enforcement action against TCL and have issued 2 Improvement Notices in respect of breaches of the Health and Safety at Work Act and Management of Health and Safety at Work Regulations. TCL were granted an extension until 30 April 2007 to comply. TCL have since reported that required actions have been taken, see section 4.1.3.

4.6.4. Other Modes- Major Accidents and Incidents

Nothing to report

5. Sustainability

5.1. ENVIRONMENT

- The environment teams from Streets and Operations have merged to form a new Surface Transport Environment Team. The new team will provide advice, information and support to ST modes and directorates to help meet Mayoral and TfL environmental objectives.
- The development of the integrated Health, Safety and Environmental management system for all Surface public transport modes is in progress, with Operations identified for first phase of the roll out. A consultant Programme Manager has been appointed to help manage the development and implementation of the HSE Management Systems across the modes.
- A review of existing environmental management procedures and general working practices in Streets has been undertaken. Where not incorporated into the HS&EMS procedures, stand alone environmental procedures are being developed to cover environmental standards applicable to Streets, in liaison with other business units.
- The three hydrogen-powered fuel cell buses on trial on route RV1 completed their last day of operation on 12 January 2007. The three year trial of the buses was considered extremely successful, with an average operational availability of over 90%. One bus has been donated to the London Transport Museum's Acton Depot and another bus to the Science Museum's Swindon depot. TfL are still reviewing proposals with regards options for the third bus.
- The tenders for the hydrogen transport programme have been evaluated for the "Buses" work-streams. Contractual negotiations are ongoing with selection of the preferred bus supplier and infrastructure provider scheduled for May 2007. The ITT has been issued for the refuelling infrastructure for the 'Cars and Vans' work stream and Pre Qualification Questionnaire for the vehicle supply are ongoing. The Cars and Vans budget was approved from the Climate Change Fund in Jan 07.
- A business case submission and Project Review Group (PRG) paper for funding from the Climate Change Fund for 50 to 60 hybrid buses was approved by PRG on 23 March 2007. The London fleet currently has six single-deck hybrid vehicles on Route 360, recording improved reliability and fuel consumption following modification. One double-deck hybrid bus entered service on Route 141 on 16 March (from Palmers Green to London Bridge Station, operated by Arriva London North) and is running satisfactorily. Commercial proposals have been received for batches of single and double-deck vehicles to be delivered during 2007/08. Discussions continue with all other major bus suppliers to encourage further batches of trial vehicles.

6. RECOMMENDATIONS

- The Safety, Health and Environment Committee is asked to Note the content of this report.

TRANSPORT FOR LONDON SAFETY, HEALTH & ENVIRONMENT COMMITTEE

SUBJECT: LONDON RAIL SAFETY AND HEALTH PERFORMANCE QUARTER 4

MEETING DATE: 5th July 2007

1.0 Purpose.

The purpose of this paper is to inform Members of the key HSE matters during the last Quarter.

2.0 Decision required.

None

3.0 Background.

A full report on HSE activities and performance is produced annually. These quarterly reports are to update the Committee on any significant matters from the reporting quarter.

4.0 Information

4.1 London Rail & Docklands Light Railway Ltd (DLRL)

As required under the Railways and other Guide Transport (Safety) Regulations (ROGS), DLRL submitted their Safety Authorisation document as Infrastructure Manager to the Office of Rail Regulation (ORR) on 1st December 2006. Notification has now been received from the ORR advising that the submission has been accepted. Formal issuing of certification will be before the end of April 2007.

4.2 East London Line Project (ELLP)

The enabling works contractors have now handed over to the main works contractors. During the enabling works there were no reportable incidents in over 650,000 working hours. The main works contractors have continued the trend with no reportable incidents.

4.3 Significant plans for next quarter

- London Rail – detailed review of safety responsibilities in light of forth coming appointment of the Concessionaire for the North London Line.
- ELLP - development of next years Safety Plan
- ELLP – working with London Underground to update the Quantified Risk Assessment model to incorporate the impact of the future closure of the East London Line.
- DLRL – continuing implementation of ROGS requirements and associated processes.
- DLRL - review of safety management system to implement recommendations from gap analysis and other review work.

5.0 Progress against HSE Plans

- DLRL:

Eight objectives out of ten have been completed in full. Two are partially complete and will be carried over to 2007/08. The two carried over relate to the implementation of ROGS requirements and document control. The 2007/08 Safety Improvement Plan has been produced and ratified by the DLRL Executive Committee.

- SD (Serco Docklands):
All objectives are now complete. Development of next years plans are now in progress
- ELLP: Three objectives are completed in full and significant progress has been made on the others. Incomplete objectives will be carried over to 2007/08.

6.0 HSE performance

6.1 Health

There were no significant staff occupational illness and/or sickness issues within London Rail this quarter.

Sickness absence figures for London Rail core, DLRL and the ELLP are as follows: a total 37 instances of sickness during quarter 4, resulting in 175 days lost. This figure includes two cases of long term sickness. Of these cases one has returned to work and the other has left the company. These figures represent an increase on the previous two quarters. Taking into account the extended reporting period this quarter and the information above the overall trend does not show any adverse tendencies.

6.2 Safety (significant incidents)

During this quarter there were two RIDDOR reportable incidents (3 January and 17 February) and three other incidents worthy of note.

3 January 2007 – a Passenger Service Supervisor reported slipping on a wet vehicle floor in Beckton depot. As a result he suffered a twisted ankle which led to more than 3 days off work.

18 January 2007 - extreme weather conditions (high winds) caused infrastructure damage at various locations across the DLR network. The damage resulted in certain operational restrictions but no injury to staff or passengers

14 February 2007 – main works contractors on the East London Line project were felling trees in the playground of a school (closed for holidays) which resulted in a tree falling and destroying playground equipment. This incident has been investigated and appropriate controls put in place to prevent reoccurrence.

17 February 2007 – a Serco contractor received injuries to his legs during re-railing work being carried out near Shadwell. A length of rail struck the contractors' legs causing ligament and tendon damage, whilst it was being moved.

15 March 2007 – Serco staff discovered that split pins from a set of points at Royal Mint Street were missing. The split pins are believed to have been incorrectly fitted during overhaul work carried out in February. Immediate action taken as a result of this discovery was to reposition the spilt pins and stop the contractors who performed the overhaul from carrying out further works. All others points on the system were checked as a precaution and no problems identified. This incident remains under investigation.

6.3 Environment

London Rail will be responsible for an Overground rail concession from November 2007, which currently operates under Silverlink Metro branding. This will also include the extended East London line when it opens in 2009. All bidders for the concession have included a sustainability plan in their bids. The bidder selected to operate the concession will be obliged to report KPIs that feed into TfL's Environment Report.

London Rail is working with industry partners who are researching and developing ways to improve rail's sustainability performance. This covers rail services that TfL are responsible for and other operators inside and outside the London area.

London Rail will be devising a sustainability plan and milestones in order to report against the green budget priority that the Mayor committed to in January which is: "London Rail will work closely with the Department for Transport and Network Rail to ensure the sustainable development and future operation of London's rail network through the application of energy efficient equipment, fuels and contractual agreements"

7.0 Sustainability
See 6.3 above.

8.0 Recommendations
The Safety Health and Environment Committee is recommended to NOTE the content of the report

TRANSPORT FOR LONDON

SAFETY HEALTH AND ENVIRONMENT COMMITTEE

SUBJECT: Corporate Directorates 2006/7 Quarter 4 HSE Report

DATE: 5th July 2007

1.0 PURPOSE

To inform Members of the key HSE matters during the last Quarter

2.0 DECISION REQUIRED

None

3.0 BACKGROUND

A full report on HSE activities and performance is produced annually. Quarterly reports update the Committee on significant matters from the reporting Quarter.

4.0 INFORMATION

4.1 SUMMARY

4.1.1 WHAT WENT WELL

- Det Norske Veritas (DNV) completed 'fieldwork' on the independent audits of the Corporate Directorates and Group HSE Management Systems (HSE MS).
- Two new advisors to the Safety Health and Environment Committee were appointed.
- HSE MS Standards on Personal Protective Equipment, Occupational Driving and Control of Substances Hazardous to Health [COSHH] will be implemented in 2007/08 Q1.
- The first of a series of new measures to address manager HSE competency was completed. Guidance to managers with people responsibilities was posted on Source to address actions to be taken following the departure of HSE competent members of staff.
- Engagement with TfL's new IM service provider, Computer Sciences Corporation (CSC) ensured that key areas affecting the Mode's Display Screen Equipment (DSE) users such as equipment specification, service request methodology and reasonable adjustments continue to be addressed appropriately.

4.1.2 AREAS FOR IMPROVEMENT

- Work remains outstanding with Group Human Resources and other relevant stakeholders to ensure that HSE has an appropriate profile during the implementation of Organisational Change Policy
- Documentation in support of addressing HSE considerations early in the procurement cycle needs improvement.
- The DNV audit (see 1.1) will identify areas for improvement which will then form the basis of 2007/08 Improvement Plan to be prepared in Q1.

4.1.3 SIGNIFICANT PLANS FOR NEXT QUARTER

- DNV's Group and Corporate Directorates HSE MS audit reports will be issued and resourcing and timelines agreed to implement key recommendations.
- The next series of Chief Officer HSE Assurance Letters will be prepared. The letters will address recommendations arising from the DNV report.

4.2 PROGRESS AGAINST HSE PLAN

- **Corporate Directorate HSE Management System**
Standards on Personal Protective Equipment (PPE) Assessment, Occupational Driving Assessment and Control of Substances Hazardous to Health [COSHH] are ready for implementation in Q1 2007/08.
- **Specific areas of risk**
Manual handling risk assessment and training has been expanded within two key areas of Group Marketing Operations – Lost Property Office and Travel Information Centres. Manual handling guidance aimed at the generic office environment is now posted on Source.
Work programmed to address the Oyster call centre ergonomic layout and noise management will start 2007/08 Q1.

4.3 HEALTH OF MANAGEMENT SYSTEM

- Work continues with Group HR Employee Relations and other non-LU Modes to agree a draft framework for health and safety consultation. A draft will be ready for consultation with non-trades union stakeholders before 2007/08 Q1 end. Thereafter, a draft will be submitted to trades union partners for their consideration
- A fresh round of HSE Assurance Letters will be prepared and agreed with the Chief Officers during 2007/08 Q1 and Q2
- The Mode's HSE Management System will be recast to address the Mode's new organisational structure during 2007/08 Q2.

4.4 HSE PERFORMANCE

4.4.1 HEALTH

- There was 4012 days of sickness absence or an equivalent of nearly 2 days per person in the Mode. This equates to 3.0% absence, compared 3.6% for the same quarter in the previous year.
- Cold and 'flu was the largest category of sickness absence, as is typical for Q4 data.

4.4.2 SAFETY

- **Employee safety** - there were 8 minor accidents and incidents involving employees. There were no RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations) - reportable incidents

Customer safety - there were no accidents or incidents involving customers

Contractor safety - there was one minor accident involving a contractor

Third Party safety - there were no accidents or incidents involving third parties.

4.4.3 ENVIRONMENT

- The 08/09 TfL Group Business Planning guidelines went out to the businesses at the end of March with an enhanced focus on delivering the sustainability agenda and T2025 transport objectives. Businesses are required to provide an integrated sustainability commentary (including a discussion of E&I, CO₂ and other environmental benefits and impacts) as part of the main business plan commentary.
- Planning for 2007/08 saw three initiatives approved for funding from TfL's Climate Change Fund: eco-driving, hydrogen cars and vans and hybrid buses. A further 16 funding applications were submitted for consideration by the Climate Change Fund Approvals Group in April/May.
- TfL was awarded accreditation under the Energy Efficiency Accreditation Scheme. The award recognises TfL's commitment to energy efficiency in its Head Office buildings.
- Work has commenced on the development of a Sustainability Framework for TfL with the aim of having it completed, agreed and communicated by end 07/08.
- The carbon offset for business air travel in 06/07 by TfL staff has been compiled and equated to 689 tonnes of with a value of £6,828. This information has been communicated to the DEFRA carbon offset scheme being used by all of the GLA and funds are being transferred.

4.4.4 MAJOR INCIDENTS

None.

5.0 IMPACT ON SUSTAINABILITY

Addressed under 4.4.3 above

6.0 RECOMMENDATIONS

The Committee is recommended to NOTE the contents of the report.