

**Transport for London
Safety and Sustainability Panel**

Subject : Annual Health, Safety and Environment Assurance Letters

Date : 27 September 2012

1 Purpose and decision required

- 1.1 This paper provides an overview of the HSE assurance letters process and provides in the appendices, copies of the HSE assurance letters submitted to the Transport Commissioner.
- 1.2 The Panel is asked to note the paper and assurance letters.

2 Overview of the Assurance Letter Process

- 2.1 The Assurance Letters process has now operated in TfL since 2006. The process is seen as an effective way in which each business area self assures itself of the level of compliance against a set of core criteria which define the key elements of the Health and Safety Management framework in place. The results are reviewed at Board level in each business before being presented to the Commissioner. Since the process began the core questions have remained the same, and this has allowed a steady process of improvement to be benchmarked across TfL.
- 2.2 This year sees the highest levels of compliance across TfL that have been achieved. With the development of the TfL Business Management System across TfL, the Assurance Letters process will be developed to cover more than just HSE and Resilience, and will look to assure compliance with the whole business management system. The questions set will also be enhanced. The Safety and Sustainability Panel will continue to receive reports of the results.
- 2.3 The Annual HSE Assurance Letters for 2011/12 are attached as Appendices to this report as follows:
 - (a) Appendix 1 – London Underground;
 - (b) Appendix 2 – Surface Transport;
 - (c) Appendix 3 – London Rail;
 - (d) Appendix 4 – Crossrail; and
 - (e) Appendix 5 – Corporate Directorates.

3 Results of TfL Internal Audit of the Assurance Letters Process

- 3.1 The TfL Internal Audit Team has recently completed a review of the Assurance Letters Process. The report looked at the HSE and Resilience Processes. Their report concluded that the process was well controlled in both cases. There were some observations made for minor process improvements which will be put into place.

4 Recommendation

- 4.1 The Panel is asked to NOTE the paper and assurance letters

5 Contact

- 5.1 Contact : Martin Brown
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**Transport for London
LONDON UNDERGROUND**

SUBJECT: Health Safety and Environment Assurance Letter

DATE: 31 May 2012

1.0 Introduction

This Letter documents the status of the Health, Safety and Environmental Management System (HSEMS) for London Underground (LU) at the end of 2011/12.

2.0 Status of Health Safety and Environment Management System(s)

2.1 Health Safety and Environment (HSE) Policy

LU has adopted a Health, Safety and Environmental (HSE) Policy that mirrors the TfL HSE Policy. This policy was endorsed by the LU Board and came into effect in January 2007.

The policy is 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.

Status	Implemented in full
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2.2 HSE Management Systems

The LU HSEMS has been refined over twenty years and drives the ever improving HSE performance of the business. The core standards of the HSEMS are mandated on LU's supply chain. These standards are in accordance with the criteria within the TfL Group HS&E Management System. Compliance with LU HSEMS across the business is monitored through a structured audit programme.

LU's HSEMS now forms an integral part of the overall management system. Integration of the HSEMS into LU's comprehensive management system makes it easier for managers to comply with the requirements of the system and facilitates efficient compliance verification.

Status	Implemented in full
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2.3 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, safety and environment 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 HSE risk in the LU operational environment. These training interventions are supplemented by coaching sessions from the HSE team.

Status	Implemented in full
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2.4 HSE Objectives / Key Performance Indicators (KPI's)

LU delivered a comprehensive improvement programme in respect of health, safety and environment over the last year. The programme is developed on an annual basis and builds on previous programmes. The 2011/12 programme was endorsed by the LU Health, Safety, Environment and Climate Change Programme Board (HSECCPB) in March 2011. Progress of the programme against milestones was reported each period to the Rail and Underground Board as part of the overall 'LU Plan'. This makes the status of actions highly visible and these actions are the subject of on-going monitoring and review.

LU has established a comprehensive set of Health, Safety and Environmental Key Performance Indicators (KPIs) which are used to measure performance. The KPIs include active and reactive indicators and pre-cursor events. Performance is reported regularly by a number of means at local and higher levels within LU. LU publishes a comprehensive health, safety and environmental performance report every quarter which is subject to detailed review by the HSECCPB.

Status	Implemented in full
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2.5 Risk Assessments

LU has established comprehensive arrangements for the assessment of HSE 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.

Status	Implemented in full
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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, with work continuing in 2011/12 to integrate the former Metronet and LU procedures. In this way we ensure that our health and safety risks are maintained at levels that are as low as reasonably practicable.

Status	Implemented
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2.6 Meetings and Consultations

The HSECCPB met on a quarterly basis in 2011/12 chaired by the LU Director of Health Safety Environment with members drawn from LU Directors and senior managers. Tube Lines have standing invitations for their Managing Director and Safety Director who attend on a regular basis.

The above committee is supported by the LU Directors' Risk Assurance Change Control Team (DRACCT) in order to provide an effective peer review function. Meetings were held at least every 4 weeks in 2011/12, and special meetings were held when necessary. The remit of the Group encompasses the peer review/validation of change where this has significant health, safety, environment or business implications, peer review of all Formal Investigation Report recommendations and actions in advance of their implementation.

In addition, health safety and the environment 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. The LU HSEMS has been designed to ensure the statutory rights of employees and their representatives are met in terms of involvement and consultation in respect of matters of health and safety.

Status	Implemented in full
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2.7 Incident Reporting and Investigation

Through the implementation of LU 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 development and monitoring of corrective actions.

LU has a dedicated incident investigator who investigates significant incidents. The investigator can also call on a number of safety managers/advisers and engineers trained in specialist investigation techniques. All Formal Investigation Reports (FIRs) issued over the past year have been subject to peer review by the LU DRACCT. Corrective actions and programme details/accountabilities were monitored via the HSECCPB and have been/are being monitored through to completion.

Status	Implemented in full
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2.8 Assuring HSE Performance

LU has established and implemented standards and processes for the audit of the LU HSEMS as part of the review of the management system. 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 HSE and technical audit programme for 2011/12 was approved by the HSECCPB and covered key LU health, safety and environment processes, operational and maintenance risk controls and specific topic areas. The audit programme also covers LU's key suppliers.

Audit results and actions have been reported in specific audit reports and the significant findings in the quarterly LU Health, Safety and Environmental Performance reports. Progress against the programme is monitored regularly and reported to senior management. Audit reports are communicated to the audited section of the business and relevant senior management. Audit re-visits are undertaken on a risk basis to ensure that actions have been progressed.

In addition to audit work undertaken via the HSE directorate, a programme of HS&E System Checks and Safety Tours is carried out across LU as part of local management assurance checks.

Status	Implemented in full
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2.9 Procurement Management

LU has implemented procurement standards and processes that ensure all our suppliers meet our HSE requirements at all stages of the procurement process. Compliance with these standards is managed throughout the procurement process. These are supported by robust contractual provisions relating to health, safety and environmental management. Verification of higher risk activities are managed through LU's Assurance process, on site monitoring and performance reporting.

Status	Implemented in full
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2.10 Review of the Management System

LU has incorporated the review of its HSEMS into the annual review of the adequacy and effectiveness of the overall management system and related arrangements. In between formal reviews, individual elements of the system have been (and will continue to be) subject to review in response to legislative changes or other events. Such changes have been controlled through the DRACCT change control process.

Status	Implemented in full
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3.0 Future HSEMS Developments

As part of the ongoing review and development of the LU HSEMS, a number of significant improvement actions are scheduled for this year. LU has a commitment to continuous improvement in health, safety and environmental management and performance. This means that LU regularly considers how performance can be improved. This is achieved through the respective health, safety and environmental improvement programmes each year. These programmes are approved by the Rail and Underground Board and progress is monitored and reviewed throughout the year.

Detailed health, safety and environmental improvement programmes are part of the LU Plan, which is available on the LU intranet.

Some of the key areas where further improvements will be made over the coming year include:

- Integration of the separate Health, Safety and Environment Management Systems developed for the different business units across TfL into a single unified system serving all parts of TfL
- Delivery of Safety Refresher sessions to TfL Directors and Senior Managers
- Review of the comprehensive set of HSE performance indicators across TfL to ensure they remain valid and reflect LU's risks
- Implementation of best practice guidance for Clients under Construction Design Management Regulations
- Ongoing review and updating of our top event major accident risk models including single point failures in degraded operations
- Continued implementation of the safety critical communications programme
- Continued delivery of health fairs for all TfL staff
- Environmental improvement actions including:
 - implementation of the LU Biodiversity Action Plan,
 - further improving recycling and waste management at our project sites,
 - continuing improvement to our energy metering capability through using energy data to inform operational and maintenance performance management
 - Setting out the roadmap for long -term sustainable development.

This programme of improvements is an integral part of The Plan for 2012/13 and will be overseen by the Rail and Underground Board.

Mike Brown
Rail and Underground Managing Director

June 2012

Transport for London
SURFACE TRANSPORT

Subject: Health Safety and Environment Assurance Letter for Surface Transport

Date: 01 May 2012

1.0 Introduction

This Letter documents the status of the Health, Safety and Environmental Management Systems (HSEMS) for Surface Transport at the end of March 2012.

2.0 Status of Health Safety and Environment Management System(s)

2.1 Health Safety and Environment (HSE) Policy

The TfL Group HSE Policy statement, amended March 2008, has been adopted by Surface Transport. In order to promote greater local ownership, the policy has been branded to some business areas and authorised at that level. The policy statement has been made available to all staff via the TfL intranet, dedicated health and safety SharePoint site, notice boards and in health and safety and environmental training.

Status	Implemented in full
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2.2 HSE Management Systems

HSEMSs for respective Surface Transport business areas are in place and conform to criteria laid down in the TfL Group HSEMS.

Status	Implemented in full
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The current status of HSEMSs across Surface Transport is the result of extensive work to raise workforce awareness of respective management systems through a range of media including SharePoint, newsletters, training and toolbox talks.

During 2011/12, business areas reviewed their management systems to ensure they continue to meet business and TfL Group requirements. These were underpinned by internal compliance audits. In addition to steps taken to verify compliance, reviews based on the checklist produced collaboratively by the Institute of Directors and the Health and Safety Executive were undertaken.

Surface Transport is working towards harmonising management systems to create common procedures where possible. As this continues into this year,

recent organisational changes will be reflected in any new procedure and will take account of the aspiration to have a TfL-wide management system.

2.3 Management Competence

The Surface Transport Organisation and Arrangements (O&A) document describes the health, safety and environmental roles and responsibilities of directors, their direct reports, managers and staff. These are further enhanced through HSEMS procedures and local O&A documents (for business areas managing significant risks), which outline individual responsibilities.

Status	Implemented
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Improved coordination of health, safety and environment training is helping to meet policy commitments such as the ability to book health and safety courses through Source. In 2011/12, a H&S training programme on leadership in safety management was delivered to selected senior managers and a new course focusing on leadership behaviour in H&S is presently being delivered to all senior managers as part of a TfL wide initiative.

As a British Safety Council (BSC) Registered Centre for the delivery of BSC Levels 1 and 2 in Health and Safety, Surface Transport is now better placed to address workforce training needs being systematically identified. This builds on Surface Transport acting as an assessment centre for the national QCF qualification for Construction Design Management (CDM) accredited by the Open University.

2.4 HSE Objectives / Key Performance Indicators (KPI's)

Departmental H&S objectives were set and reviewed quarterly at business directorate level. Overall performance was reported to the Surface Board along with Environmental objectives for relevant business areas have been set.

Status	Implemented in full
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Specific safety KPIs for buses are reported as part of a periodic strategic report to Surface Transport directors. Health and safety KPIs for staff and contractor incidents were reported quarterly to the Safety Health, Environment Assurance Committee (SHEAC) and to the Surface Board.

Surface HSE performance is reported to the Surface Board and SHEAC. Environmental data is submitted against TfL's Environmental KPIs and reported through the annual reporting process.

Bus incident statistics are benchmarked for bus operators and are reviewed by London Buses and bus company directors at a quarterly Bus Operator Forum (Safety Sub Group). HSE performance indicators are in place as

part of the contract management framework for maintenance contractors within Roads Directorate.

Analysis of road casualty data is used in assessing progress against London's Road Safety Plan which supports the national casualty reduction objectives. Performance against these targets are monitored locally and published on the TfL website. Work is currently underway to establish new road safety plan and targets for the next ten years.

2.5 Risk Assessments

Programmes of risk assessments covering activities, premises and fire are in place across Surface Transport and assessments are monitored and reviewed under existing guidelines. Risk assessment training continues to allow greater local risk management.

Status	Implemented in full
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Display Screen Equipment (DSE) assessments are systematically undertaken using a combination of an online training and assessment tool and personal assessment.

During 2011/12, Surface Transport began work on developing a H&S risks profile. This is with a view to feeding into the corporate strategic risks register and support risk management and identification of key issues within the organisation.

2.6 Meetings and Consultations

HSE matters are discussed at the highest levels within the Surface Transport governance structure. Periodic reports are submitted to the Surface Board facilitating informed HSE planning at a strategic level.

Status	Implemented in full
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HSE governance meetings for business areas that manage significant risks provide the opportunity to ensure that assurance and performance are systematically monitored. In other areas, HSE is an agenda item in senior management meetings. In the case of London Buses, separate environmental governance meetings are held to reflect the level of environmental assurance required.

Formal Health and Safety Committees are in place across Surface Transport, which meet at set intervals and are attended by management, staff and Trades Union representatives.

To support the safety of the transport networks, key meetings are held with strategic contractors and partners the purpose of which includes sharing of best practice and dissemination of TfL's expectations and priorities. Examples of meetings include Bus Operators' Forum (Safety Sub Group),

TfL Construction H&S Forum with representatives of Highways Maintenance Works Contracts (HMWCs), Construction Design and Management Working Party and the Cycle Safety Working Group.

Meeting minutes are made available on the H&S team SharePoint site as appropriate.

2.7 Incident Reporting and Investigation

Surface Transport HSEMS procedures include requirement for reporting and investigating accidents and incidents to staff and for the reporting and investigation of major incidents as defined by the Group Health, Safety and Environment standard.

Status	Implemented
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A bespoke web-based incident system previously used by parts of Surface Transport was been extended to all business areas. This has further enhanced incident reporting and analysis capabilities.

A formal arrangement is in place for reviewing the investigation of major incidents on the bus network with a view to identifying root causes and sharing of lessons learned with all bus operators. Further work is proposed to strengthen the processes for investigating major incidents across Surface Transport.

Surface Transport has competent accident investigators that meet standards required by the Institute of Industrial Accident Investigators. Further to this, additional training programmes are planned for this year.

2.8 Assuring HSE Performance

Surface Transport strives to meet legal compliance through all of its operations. A systematic review was undertaken to determine how business areas perform against industry guidelines in key H&S aspects. There are processes within business areas to track actions arising from the range of compliance verification tools employed including audits, safety tours and the HSE/IOD Checklist.

Status	Implemented in full
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Assurance of HSE continues to be undertaken across Surface Transport, through a combination of audits by the Surface Safety Team and senior management safety tours. Physical condition surveys planned general inspections and operational inspections are also undertaken.

HSE is also reviewed by Surface Transport directors at the Surface Board Meetings with a report submitted by the Operations Director on a periodic basis and on a quarterly basis to SHEAC by the Managing Director.

2.9 Procurement Management

HSE criteria form part of the evaluation criteria for appropriate contracts and the H&S and Environment teams are working with the Commercial team. This is ensuring that HSE requirements are embedded in all relevant Surface Transport contracts and at all stages of the procurement process.

Status	Implemented
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Health, safety and environmental expertise is provided directly to the project teams for relevant major contracts. Work to harmonise H&S requirement for contracts will be progressed further this year.

All long term contracts are audited regularly and recommendations are fed back to the contract account managers.

2.10 Review of the Management System

Respective business areas reviewed their HSEMS for its suitability and effectiveness. This process was further aided by the ongoing work to create common HSEM procedures for Surface Transport.

Status	Implemented
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A review of the management system will be integrated into the objectives for this year and resultant actions progressed within Surface Transport and other parts of TfL.

3.0 Future HSE MS Developments

As part of Surface Transport's commitment to continuous improvement to its HSEMS, the outcomes of audits and other assurance processes will form part of the considerations for future revisions to procedures. This will also be augmented with lessons learned from any major incident investigation, analysis of trends and industry best practice.

Going forward Surface Transport will ensure that any organisational changes are reflected within the relevant management systems.

MD's SIGNATURE:

DATE:

Transport for London

London Rail

Subject: Health Safety and Environment Assurance Letter for London Rail

Date: 1 June 2012

1.0 Introduction

This Letter documents the status of the Health, Safety and Environmental Management Systems for London Rail at the end of March 2012.

London Rail is made up of three separate business areas, Docklands Light Railway (DLR), London Overground and London Tramlink. The transport services themselves are delivered by private sector contractors.

Comments have been made in each section where requirements have not been categorized as implemented in full.

2.0 Status of Health Safety and Environment Management System(s)

2.1 Health Safety and Environment (HSE) Policy

The TfL Group HSE Policy Statement has been adopted and specific Business Area HSE arrangements are aligned with the Group HSE policy. The TfL Group HSE Policy Statement has communicated to all employees.

Docklands Light Railway	Implemented in full	London Overground	Implemented in full	London Tramlink	Implemented in full
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2.2 HSE Management Systems

HSE Management Systems (HSEMSs) are in place or being developed in accordance with the criteria laid down in the TfL Group HSEMS to cover all business activities.

Docklands Light Railway	Implemented in full	London Overground	Implemented in full	London Tramlink	Implemented
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The Tramlink Integrated Management System (IMS) was rolled out in December 2010 and Trams are working to the standards issued. The IMS incorporates the management of HSE issues and is aligned to meet the requirements of TfL standards. The standards and procedures are being reviewed post the transfer of both the Infrastructure Maintenance function 'in house' and the contractual management of the Tram Maintainer, which will lead to some further enhancement.

2.3 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.

Docklands Light Railway	Implemented in full	London Overground	Implemented in full	London Tramlink	Implemented
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London Tramlink has defined a number of staff as safety critical and these and related HSE roles have been identified and have appropriate competencies. Some new members of staff have been appointed to these roles. Management Safety training has taken place in the last year, and there is further competence related development planned. The IMS competence management framework remains under development.

2.4 HSE Objectives / Key Performance Indicators (KPI's)

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

Docklands Light Railway	Implemented in full	London Overground	Implemented in full	London Tramlink	Implemented in full
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2.5 Risk Assessments (including impacts from climate change)

A programme of risk assessments is in place to ensure all risks are reduced to ALARP (as low as reasonably practicable) through implementation of control measures and ongoing review.

Docklands Light Railway	Implemented in full	London Overground	Implemented	London Tramlink	Implemented in full
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On London Overground risk assessments are in place for the core East London Railway. These are being extended to cover other Overground routes.

2.6 Meetings and Consultations

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

Docklands Light Railway	Implemented in full	London Overground	Implemented in full	London Tramlink	Implemented in full
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2.7 Incident Reporting and Investigation

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

Docklands Light Railway	Implemented in full	London Overground	Implemented in full	London Tramlink	Implemented in full
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2.8 Assuring HSE Performance

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

Docklands Light Railway	Implemented in full	London Overground	Implemented	London Tramlink	Implemented in full
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On London Overground the programme of audits for 2011 was not completed, although major suppliers were audited. A programme of audits is in place for 2012.

2.9 Procurement Management

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

Docklands Light Railway	Implemented in full	London Overground	Implemented in full	London Tramlink	Implemented in full
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2.10 Review of the Management System

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

Docklands Light Railway	Implemented in full	London Overground	Implemented in full	London Tramlink	Implemented in full
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3.0 Future HSE MS Developments

As part of the ongoing review and development of HSEMS, the following improvement actions are scheduled for this year.

DLR

- Development of a lessons learned database which is applicable to the DLRL Projects and Engineering departments
- To establish a maintenance assurance regime to be applied to all DLR maintenance entities
- To update the Business Critical Process documents describing the safety management arrangements on the DLR and to implement the provisions of the new Operational Risk Management process.

London Overground

- No significant changes are planned although a number of minor changes and updates are planned as a result of the annual management review.

Trams

- Completion of the Competency Management Framework
- Completion of the Environmental Improvement Plan
- Revised reporting of KPIs
- Risk review of new trams operation
- Implementation of a programme of health and wellbeing initiatives.

During the coming year the management system in London Rail will be further aligned with the TfL Management System project.

Mike Brown
Rail and Underground Managing Director

June 2012



Transport for London

Crossrail

Subject: Health and Safety Assurance Letter for Crossrail

Date: 30 May 2012

1.0 Introduction

This Letter documents the status of the health and safety management system and environmental management system for Crossrail at the end of May 2012.

2.0 Status of Health Safety and Environment Management System(s)

2.1 Health and Safety and Environment (HSE) Policy

The HS&E Policy was reviewed in November 2011. It was decided to align the policy to reflect better the correct organisational structure in that there would be separate Health and Safety and Environmental policies. In addition, while the Crossrail Limited Board has endorsed the adoption of the Transport for London Group Health, Safety and Environment Policy it was felt that rather than include the Transport for London H&S Policy it should just be referenced in the Crossrail policy. This was accepted by Crossrail Excom and endorsed by the CEO for publication.

Both policies are made available to all employees and contractors via internal Crossrail Management System, external website and notice boards.

Status: **Implemented in full.**

2.2 HSE Management Systems

In line with the above, the Health and Safety and Environmental Management Systems have been written in line with the respective policies and standards.

The Health and Safety Management System has been certificated by LRQA against the British Standard OHSAS 18001 occupational health and safety management system; audits being carried out 6-monthly and most recently in May 2012.

The Environmental Management System has been certificated by LRQA against the International Standard ISO 14001 environmental management system; audits being carried out 6-monthly and most recently in May 2012.

Status: **Implemented in full.**

2.3 Management Competence



Roles which require Health and Safety and Environmental competence have been identified and the level of competence defined and assessed. Training programmes have been developed where required for Health and Safety competence and are under development for Environmental.

Status: H&S:**Implemented in full.**Environmental: **Under development**

2.4 HSE Objectives / Key Performance Indicators (KPI's)

Corporate Health and Safety and Sustainability (including Environmental) objectives have been set and measures identified for the year. With the arrival of a new H&S Director in late April 2012, further strategic objectives on 'what' is going to be done have also been developed. A parallel process applies for Environmental objectives and targets identified

Dashboards are in place to track both contractor and Crossrail performance in Health and Safety and Environmental KPIs.

Status: **Implemented in full.**

2.5 Risk Assessments (including impacts from climate change)

A programme of risk assessments is in place to ensure all risks are reduced to ALARP (as low as reasonably practicable) through implementation of control measures and on-going review. New risk assessments have been introduced as the nature of risk exposure has changed.

Status: **Implemented in full.**

2.6 Meetings and Consultations

Board sub-committees meet each period for both Health and Safety, and for Sustainability (including Environmental).

Additionally the Health and Safety Steering Group meet at a Delivery level each period.

Contractor H&S and Environmental performance is also aired at scheduled Area and Project level meetings.

The existing Facilities Liaison Meeting that covers H&S consultation with employees is to be replaced by a more encompassing Safety, Health, Environment and Facilities Committee.

Status: **Implemented in full.**

2.7 Incident Reporting and Investigation

All incidents are reported and investigated, in line with the procedures, to identify root cause, immediate causes and corrective actions.

Status: **Implemented in full.**

2.8 Assuring HSE Performance



An annual health and safety, environmental and quality audit programme is in place and monitored by management with reports communicated and action taken.

Furthermore, lower level on-going programme of 'surveillances' are completed addressing path of risk H&S concerns.

Status: Implemented in full.

2.9 Procurement Management

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

Status: Implemented in full.

2.10 Review of the Management System

The suitability and effectiveness of the health and safety management system and environmental management system is regularly reviewed by senior management and the findings of the review communicated at senior management meetings.

Status: Implemented in full.

3.0 Future H&S MS Developments

As part of our continuous drive towards Target Zero, the health and safety management system is to be reviewed and improvements made during the coming year. These include:

- A new manual is being written signposting end-users to where to find key health and safety arrangements.
- A suite of Standard Operating Procedures with process maps are being developed as part of the Management System and will ultimately replace existing stand-alone procedures.
- Current terms of references for H&S meetings are being converted into a suite of consistent Terms of Reference are being developed.

Signed:

Date:

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Andrew Wolstenholme
Chief Executive

Transport for London
TfL SPECIALIST SERVICES

SUBJECT: Health Safety and Environment Assurance Letter

DATE: April 2012

1.0 Introduction

This Letter documents the status of the Health, Safety and Environmental Management System for the Finance Directorate at the end of March 2012.

2.0 Status of Health Safety and Environment Management System(s)

2.1 Health Safety and Environment (HSE) Policy

The TfL Group HSE Policy Statement has been adopted and specific Business Area HSE arrangements are aligned with the Group HSE policy. The TfL Group HSE Policy Statement has communicated to all employees.

Status: **Implemented in full.**

The TfL Group Health, Safety and Environment Policy Statement was reviewed in July 2010. It is available on notice boards and via the intranet. The Policy Statement is provided to new employees as part of the Corporate Induction.

2.2 HSE Management Systems

HSE Management Systems (HSEMSs) are in place or being developed in accordance with the criteria laid down in the TfL Group HSEMS to cover all business activities.

Status: **Implemented in full.**

A suite of standards and procedures that comprise the TfL Corporate Health, Safety and Environment Management System (HSEMS) are in place and implement the Group HSEMS. Existing HSEMS Standards undergo review and new Standards are included as required to address business activities and changes in legislation.

2.3 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.

Status: **Under development.**

A Group HSE Competence Framework was finalised during 2008/09. Corporate Directorates HSE has completed a gap analysis against its requirements to aid the development of a training and information programme for managers. A programme of enhancing safety leadership

began during 2011/12 and will continue into 2012/13 targeted at all Directors, all Pay Band 4 and 5 senior managers and selected Pay Band 3 managers.

2.4 HSE Objectives / Key Performance Indicators (KPIs)

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

Status: **Implemented in full.**

KPIs, including injury rates and sickness absence are monitored and reported through the Business Management Review process and to the Safety Health and Environment Assurance Committee (SHEAC) through Quarterly and Year-End reports.

2.5 Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP (as low as reasonably practicable) through implementation of control measures and ongoing review.

Status: **Implemented in full.**

A programme of risk assessments, updated annually, addresses workplace and specialist risks. The programme is led and largely executed by Corporate HSE Advisors within HSE (Specialist Services). Additional specialist risk assessments take place when required. The programme, as implemented and maintained, ensures that health and safety risks are maintained at levels that are ALARP. Risk assessments undergo periodic review and are revisited following significant events in conformance with relevant HSEMS Standards.

2.6 Meetings and Consultations

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

Status: **Implemented.**

Revised consultation arrangements, finalised between Group Employee Relations and HSE (Specialist Services) and ratified at Chief Officer level, have been agreed with recognised trade unions. The consultation arrangements that address the requirements of the Safety Representative and Safety Committees Regulations 1977 and the Health and Safety (Consultation with Employees) Regulations 1996 are being rolled out across Corporate Directorates.

Facilities Operations has put in place a structure of meetings across the Head Office portfolio under which building-related HSE performance is a standing agenda item.

2.7 Incident Reporting and Investigation

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

Status: **Implemented in full.**

Accidents are recorded in accident books. Additionally, to aid real-time reactive measurement, HSEMS Standards and supporting procedures require electronic accident and incident reporting and investigation.

2.8 Assuring HSE Performance

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

Status: **In place.**

During 2007/08, an independent audit of the Corporate Directorates HSEMS was carried out. Group HSE led a programme to implement agreed recommendations which have been completed.

An HSE Assurance Letter is completed annually and provided to the Commissioner and SHEAC.

2.9 Procurement Management

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

Status: **In place.**

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.

A programme of common contract clauses on environmental issues, with guidelines for their use has been developed.

Appropriate HSE input is delivered at identified stages of the procurement lifecycle in conformance with TfL HSE Procurement Guidelines and the TfL HSE Impact Procurement Process Model.

2.10 Review of the Management System

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

Status: **Implemented in full.**

The Corporate Directorate HSEMS contains a Standard that requires the HSEMS to be reviewed against the requirements of the TfL Group HSEMS and to ensure it continues to meet the needs of the Corporate Directorates.

HSE (Specialist Services) is responsible for ensuring that findings from the review are incorporated into the Corporate Directorate HSEMS. In addition, reviews of elements of the HSEMS are undertaken as necessary to address legislative change, to meet best practice and to improve future HSE performance.

A management review of the Group HSEMS was completed in 2009/10. The review addressed HSE requirements being placed upon Businesses and simplified and clarified the structure of the management system.

Following the review of the Group HSEMS, the Corporate Directorate HSEMS was reviewed and updated.

3.0 Future HSE MS Developments

Following review work undertaken during 2010/11, the Corporate Directorates HSEMS will be further updated to reflect organisational change arising from Project Horizon. Work began during 2012 on creating a pan-TfL Management System. This will see the Corporate HSE Management System structure built on and enhanced.

4.0 Corporate Directorate 'Specific' HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each Directorate. Sections 4.1, 4.2, 4.3, 4.4 and 4.5 address these responsibilities for Marketing and Communications Directorate, Finance Directorate, General Counsel, Planning and Human Resources.

4.1 Marketing & Communications Directorate 'Specific' HSE Responsibilities

a) Work closely with relevant TfL businesses to ensure HSE matters are appropriately and effectively communicated to internal stakeholders.

Internal Communications provides 'core internal communications channels', including electronic media, staff notice boards, corporate publications and face-to-face meetings, to ensure that two-way communication on HSE matters with employees is achieved.

Internal Communications also ensures that any HSE-related internal communications, irrespective of channel employed, are appropriate and consistent with TfL's stated aims and values including the principles and values contained within the published Strategic Framework for Internal Communication.

The main responsibility for determining the need for, appropriateness of, and scope of communicating on HSE matters lies with the relevant TfL business.

- b) *Work closely with relevant TfL businesses to ensure HSE matters are appropriately and effectively communicated to external stakeholders.*

In the event of a major incident with health and safety impact, TfL's Government & Stakeholder Relations team coordinates the organisation's accurate and timely response to key external stakeholders including key Ministers, Members of Parliament, Assembly Members, national and London-based business groups, London TravelWatch (the statutory transport users watchdog) and leading organisations in the voluntary sector.

- c) *Deliver travel information to external customers using TfL modes of travel.*

Customer Experience and TfL Online provide the lead 'information' interface with external customers using TfL modes of travel. TfL Online communicates real-time travel information to incorporate any required safety element - electronically, and Customer Experience via contact centres (at Travel Information Contact Centre and Oyster Help Desk via agent response and voice recognition systems) and at strategically-located travel information centres. Information provided can address individual needs of customers enabling them to complete their journeys in a safe, economic and time-efficient manner.

Vernon Everitt
Managing Director
Customer Experience, Marketing & Communications

4.2 Finance Directorate 'Specific' HSE Responsibilities

- a) *Summarise HSE objectives within the TfL business plan.*

HSE objectives are addressed in the business plan.

- b) *Ensure that HSE issues are taken into account when determining allocation of funds.*

Health, Safety and Environment considerations are addressed in TfL's project and business planning processes. All projects are evaluated for value for money and assessed for all relevant outputs and impacts (including HSE) at the initial feasibility stage, and then subsequently updated at each of the key stages of the project life-cycle.

Any risks identified are mitigated or addressed, and funds are allocated appropriately within a financially balanced Business Plan.

Pan-TfL HSE matters are managed by the General Counsel Directorate and form part of their business planning submission.

- c) *Facilities Operations policies and procedures address HSE issues, providing safe working environments.*

Specific areas addressed include:

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

Facilities Operations has policies and procedures to support existing Standards within the Corporate Directorates HSE Management System and to address Facilities-specific issues not covered within the existing suite of HSE Management System Standards.

Facilities Operations has environmental management processes and procedures in place that cover the requirements of the International Standards Organisation (ISO) 14001 Environmental Management Standard and have been externally accredited by the Carbon Trust to achieve the Carbon Trust Standard. Facilities is looking into the requirements for meeting the ISO 16001 Energy Management Standard. The Corporate Directorates HSEMS will be reviewed to ensure the correct links are in place with the Facilities documentation.

- d) *HSE risks are minimised and HSE benefits are maximised through the procurement process.*

TfL procurement is aligned to a consistent set of Standing Orders, procurement policy and processes. Procurement standards and procedures are applied to meet business-specific needs. Group HSE and Group Procurement guidance addressing HSE risk processes at key stages over the procurement cycle is in place.

Steve Allen
Managing Director, Finance

4.3 General Counsel Directorate 'Specific' HSE Responsibilities

- a) *Support the development of HSE policy and strategy.*

The Group TfL HSE Management System Policy Statement was reviewed in 2010/11.

TfL HSE continued to lead work to ensure that the agreed HSE Competency Framework is applied across TfL.

b) Maintain a process for providing assurance to the TfL Board.

The primary means of assurance to the Board is through the Safety and Sustainability Panel that addresses TfL HSE performance on behalf of the Board. TfL HSE delivers Quarterly and Annual aligned modal HSEMS reports to *the Safety and Sustainability Panel* detailing incident trends, audit activity, sickness absence and HSEMS status updates.

An HSE Assurance Letters process has been implemented across TfL.

c) Keep up to date with new and changing HSE legislation.

General Counsel maintains and chairs the Consultations Response Group (CRG) which Group HSE attends. The role of the CRG is to co-ordinate TfL responses to consultations on proposed legislative change and facilitates a TfL response.

General Counsel monitors changes in relevant HSE legislation and case law and provides advice and training as appropriate. It also maintains a register of environmental legislation as recommended under EMS Standard ISO14001.

d) Assess compliance with HSE legislation.

TfL's legal compliance is monitored through a legal compliance report which is prepared on a bi-annual basis for the Audit Committee. The report is compiled by General Counsel based on responses to a Questionnaire completed by the TfL directorates. In addition, TfL directorates undertake a process of Controlled Self Assurance (CSA) whereby Managing Directors are asked to sign a Declaration assuring compliance with legal risk management processes. The CSA documentation is completed once each year.

With regard to any alleged breach of Health and Safety legislation, TfL directorates provide details of any formal warning or notice from the Health and Safety Executive or other regulatory bodies. For any incident, the directorate provides details on the nature of the alleged breach, how it came to its attention, the action taken to investigate, remedial steps and action taken to prevent further incidents. This section of the Legal Compliance Report is reported to *the Safety and Sustainability Panel*.

e) Maintain HSE legal support.

TfL Legal provides HSE legal support and training as required.

f) Communicate TfL HSE strategic objectives using the Business Planning Guidelines.

Strategic TfL objectives for HSE are agreed with the operating businesses and set in the TfL Business Plan. If necessary, these may be amended or extended during the year on a reactive basis. Strategic objectives are reported to *the Safety and Sustainability Panel* .

- g) *Collate information on the progress against environmental objectives for reporting to the Safety and Sustainability Panel* .

Quarterly updates on HSE matters are provided to the Safety and Sustainability Panel and an annual TfL Health and Safety Report and an annual TfL Environmental Report are prepared and published by TfL HSE.

Howard Carter
Managing Director, General Counsel

4.4 Group Planning ‘Specific’ HSE Responsibilities

- a) Six Mayoral Transport Strategy (MTS) goals incorporating strategic safety, security and environment objectives are contained within the TfL Business Plan 2011/12-2014/15 which also sets out Health, safety and environment forecasts to 2014/15.
- b) Ensure that transport related HSE matters are addressed in relation to Mayoral Strategies and projects that Planning lead on.
- c) Continue to use and refine the Strategic Assessment Framework that enables schemes to be more comprehensively assessed in relation to all MTS goals and objectives including HSE.

Michèle Dix
Managing Director, Planning Directorate

4.5 Human Resources ‘Specific’ HSE Responsibilities

- a) *Policy and process to address employee HSE competency at the recruitment stage and record competency requirements.*

Induction is an established requirement for new starters within Specialist Services. Guides for new employees and for employing managers, posted within the Learning and Development section of the intranet, address occupational safety and health issues for employees and those managers with employment responsibilities. A process is in place to record competencies and other qualifications in SAP via the Qualifications Catalogue.

- b) Appropriate employee communications and consultation arrangements are in place in accordance with legal and HSEMS requirements.*

Discussion is underway with relevant recognised trades unions on HSE consultation arrangements to be applied post-Horizon to the new Specialist Services organisation.

Tricia Riley
Director, Human Resources