

TRANSPORT FOR LONDON

SAFETY, HEALTH AND ENVIRONMENT ASSURANCE COMMITTEE

SUBJECT: REVIEW OF HSE LEADERSHIP

DATE: 6 MARCH 2012

1 PURPOSE AND DECISION REQUIRED

- 1.1 To review the leadership of Health, Safety and Environment (HSE) in TfL against guidance issued by the Institute of Directors (IoD) and the Health and Safety Commission (HSC) since it merged into the Health and Safety Executive.
- 1.2 The Committee is asked to note the paper.

2 BACKGROUND

- 2.1 In October 2007, the IoD and the HSC jointly issued guidance on “Leading health and safety at work leadership actions for directors and board members”, INDG417. This guidance was used by TfL as a basis for a review in 2009, and has been used again this time, enabling a comparable assessment of HSE leadership in TfL. Redoing this work post Project Horizon is a good test of the impact of these changes against this framework. The detail is set out in Appendix 1.
- 2.2 From 1 April 2012, TfL’s new Committee and Panel structure will be in place and the Safety, Health and Environment Assurance Committee will cease to exist. Following this change, the same roles which are attributed to the Committee in the Leadership checklist at Appendix 1 will be carried out by either the Audit and Assurance Committee or the Safety and Sustainability Panel, as appropriate.

3 CONCLUSION

- 3.1 In the light of the review against the IoD/HSC checklist questions, it is considered that TfL demonstrates compliance with the requirements for effective leadership of HSE as laid out in “Leading health and safety at work – leadership actions for directors and board members”, INDG417.

4 RECOMMENDATION

- 4.1 The Committee is asked to NOTE the paper.

5 CONTACT

- 5.1 Contact: Martin Brown, Head of HSE Rail and Corporate
Number: 020 7027 8904
Email: MartinBrown@tfl.gov.uk

CHECKLIST QUESTIONNAIRE

The 'Health and Safety Leadership checklist' from the IoD/HSC guidance and the review answers for TfL are laid out below.

IoD/HSC check list items	Response
<p>1. How do you demonstrate the Board's commitment to health and safety?</p>	<p>The Commissioner's Report to each TfL Board meeting includes comments on significant health, safety and environment (HSE) initiatives and incidents. Board papers address significant HSE elements where these are relevant to ensure awareness and appropriate involvement by the Board in these issues.</p> <p>TfL has a committee of the Board, the Safety, Health and Environment Assurance Committee (SHEAC), which meets at least four times per year. SHEAC is composed of seven Board members and is attended by the Managing Directors of Rail and Underground, Surface Transport and Crossrail, the General Counsel, and the TfL Director of HSE.</p> <p>The principal role of SHEAC is to satisfy itself, on behalf of the Board, that the TfL Group has adequate HSE governance systems in place and to provide assurance on this to the Board.</p> <p>The Chair of SHEAC provides quarterly reports to the Board and additionally provides annual reports on Health, Safety and Environment.</p> <p>Each business provides an annual self-assessment 'HSE Assurance Letter' to the Commissioner and SHEAC, signed off by its Chief Officer. These letters record the extent of compliance of each business with the requirements of the HSE Management System.</p> <p>The SHEAC and Board minutes and papers are published on the TfL website.</p> <p>HSE-related marketing campaigns aimed at customers demonstrate to them TfL's concerns about HSE.</p> <p>Board members make site visits and use these opportunities to raise HSE matters with staff and contractors.</p>

IoD/HSC check list items	Response
<p>2. What do you do to ensure appropriate board level review of health and safety?</p>	<p>On behalf of the Board, SHEAC reviews the TfL HSE Policy, the TfL HSE Improvement Priorities and Plans, the quarterly business HSE Reports, the annual TfL Health and Safety Environment.</p> <p>Visits are arranged for the Board and SHEAC Members to inspect TfL facilities as appropriate.</p>
<p>3. What have you done to ensure your organisation, at all levels, receives appropriate health and safety advice?</p>	<p>In each of the two main operating businesses and in the Corporate Directorates, there are HSE professional staff, who provide competent advice. Specialist HSE staff also provide competent advice in Crossrail. These staff maintain their competence by recognised Continuous Professional Development schemes, and additional planned development.</p> <p>SHEAC has two external advisers who are appointed for their specialist HSE experience.</p> <p>External HSE advice is also sought from time to time across TfL from regulators and external specialists as necessary.</p>
<p>4. How are you ensuring all staff, including the Board, are sufficiently trained and competent in their health and safety responsibilities?</p>	<p>Each business in TfL has training plans, of which appropriate HSE training is an important part. When new SHEAC Members are appointed, they receive information on how HSE is managed in TfL, including the mechanism for the provision of assurance to SHEAC and the Board.</p> <p>In the year ahead, TfL will embark on an ambitious programme of Safety Leadership training which will be delivered to the TfL Leadership Team, all Directors, Band 5 and 4 staff (over 300 in all).</p>
<p>5. How confident are you that your workforce, particularly safety representatives, are consulted properly on health and safety matters, and that their concerns are reaching the appropriate level including, as necessary, the Board.</p>	<p>London Underground has a well established and fully active consultative process with up to date policies and procedures. Surface Transport have a staff consultative regime that ensures access to their senior management outside of the normal line management process and for its operational staff, local consultative committees. Crossrail have developed processes that are suitable with the developing phase of its business operations. London Rail manages its consultative requirements through its representatives of employee safety and the Corporate Directorates consultation frameworks that are specific to its requirements – these were actively used during Project Horizon to validate changes.</p> <p>All TfL staff have access to independent confidential reporting systems. Given the nature of the Board, it is not considered necessary for formal consultation processes to reach directly to that level.</p>

IOD/HSC check list items	Response
<p>6 .What systems are in place to ensure your organisation’s risks are assessed, and that sensible control measures are established and maintained?</p>	<p>Each operating business has a risk management framework, which analyses the risks and ensures that appropriate risk management controls are in place to mitigate these risks. Audit of these systems is a part of the TfL assurance framework.</p> <p>The significant risks are considered by the Board, its Audit Committee and SHEAC.</p>
<p>7. How well do you know what is happening on the ground, and what audits or assessments are undertaken to inform you about what your organisation and contractors actually do?</p>	<p>Board Members make site visits and also use the TfL transport systems, thereby getting first-hand experience of operations on the ground.</p> <p>Each business has an audit programme, as do key contractors. Progress against the audit programmes and any significant findings from the audits are reported quarterly to SHEAC and reviewed in the annual TfL Health and Safety Report.</p> <p>In 2012/13, a new TfL Integrated Assurance Plan will be implemented for the first time, which links to the known significant risks, including HSE risks.</p>
<p>8. What information does the Board receive regularly about health and safety e.g. performance data and reports on injuries and work-related ill health?</p>	<p>The quarterly HSE reports from each of the businesses to SHEAC contain performance data including reportable injuries, reportable work-related ill health and significant incidents, with trends over time. Annual data is provided in the TfL Group Annual Health, Safety and Environment Report.</p> <p>Specialist reports are produced from time to time that highlight specific trends, benchmark data from other sectors and other transport businesses.</p>
<p>9. What targets have you set to improve Health and Safety and do you benchmark your performance against others in your sector or beyond?</p>	<p>The annual TfL Business Plan summarises the health and safety improvements that will be delivered at Business level. These plans are presented each year to SHEAC as Improvement Priorities and Plans.</p> <p>London Underground is a member of the international Community of Metros (CoMET) with which it benchmarks. London Buses benchmarks aspects of its contractors’ performance, in London and with bus companies in other cities.</p>
<p>10. Where changes in working arrangements have significant implications for Health and Safety, how are these brought to the attention of the Board?</p>	<p>Major changes in organisation and working arrangements are brought to the attention of the Board as appropriate, which this year has included the changes related to Project Horizon, that have been reviewed both by the Board and by SHEAC.</p> <p>The HSE management systems across the businesses have requirements for change management processes to be in place.</p>