

Agenda

**Meeting: Safety, Sustainability and
Human Resources Panel**

Date: Wednesday 5 December 2018

Time: 10.00am

**Place: Conference Rooms 1 and 2,
Ground Floor, Palestra, 197
Blackfriars Road, London, SE1
8NJ**

Members

Kay Carberry CBE (Chair)

Val Shawcross CBE

Dr Nina Skorupska CBE (Vice-Chair)

Bronwen Handyside

Dr Mee Ling Ng OBE

Val Shawcross CBE

Copies of the papers and any attachments are available on [tfl.gov.uk How We Are Governed](http://tfl.gov.uk/How-We-Are-Governed).

This meeting will be open to the public, except for where exempt information is being discussed as noted on the agenda. There is access for disabled people and induction loops are available. A guide for the press and public on attending and reporting meetings of local government bodies, including the use of film, photography, social media and other means is available on www.london.gov.uk/sites/default/files/Openness-in-Meetings.pdf.

Further Information

If you have questions, would like further information about the meeting or require special facilities please contact: James Varley, Secretariat Officer, 020 7983 4613; email: JamesVarley@TfL.gov.uk.

For media enquiries please contact the TfL Press Office; telephone: 0845 604 4141; email: PressOffice@tfl.gov.uk

Howard Carter, General Counsel
Tuesday 27 November 2018

Agenda
Safety, Sustainability and Human Resources Panel
Wednesday 5 December 2018

1 Apologies for Absence and Chair's Announcements

2 Declarations of Interests

General Counsel

Members are reminded that any interests in a matter under discussion must be declared at the start of the meeting, or at the commencement of the item of business.

Members must not take part in any discussion or decision on such a matter and, depending on the nature of the interest, may be asked to leave the room during the discussion.

3 Minutes of the Meeting of the Safety, Sustainability and Accessibility Panel held on 27 September 2018 (Pages 1 - 8)

General Counsel

The Panel is asked to approve the minutes of the meeting of the Panel held on 27 September 2018 and authorise the Chair to sign them.

4 Matters Arising and Actions List (Pages 9 - 12)

General Counsel

The Panel is asked to note the updated actions list.

5 Review of CIRAS Impact (Pages 13 - 32)

Director of Health, Safety and Environment

The Panel is asked to note the paper.

6 Quarterly Health, Safety and Environment Performance Reports (Pages 33 - 80)

Director of Health, Safety and Environment

The Panel is asked to note the report.

7 Escalators and Stairs Safety Plan (Pages 81 - 84)

Director of Health, Safety and Environment

The Panel is asked to note the paper.

8 Human Resources Quarterly Report (Pages 85 - 100)

Chief People Officer

The Panel is asked to note the report.

9 Graduate and Apprentice Update (Pages 101 - 116)

Chief People Officer

The Panel is asked to note the paper.

10 Maximising Potential and Succession Planning (Pages 117 - 140)

Chief People Officer

The Panel is asked to note the paper.

11 Transformation Update (Pages 141 - 142)

Director of Transformation

The Panel is asked to note the paper.

12 Strategic Risk Management Update (Pages 143 - 154)

General Counsel

The Panel is asked to note the paper.

13 Member suggestions for future agenda discussions (Pages 155 - 158)

General Counsel

The Panel is asked to note the forward programme and is invited to raise any suggestions for future discussion items for the forward programme, the Panel's induction and for informal briefings.

14 Any Other business the Chair Considers Urgent

The Chair will state the reason for urgency of any item taken.

15 Date of Next Meeting

Wednesday 27 February 2018 at 10.00am

16 Exclusion of Press and Public

The Panel is recommended to agree to exclude the press and public from the meeting, in accordance with paragraphs 1 and 2 of Schedule 12A to the Local Government Act 1972 (as amended), in order to consider the following items of business.

17 Strategic Risk Management Update (Pages 159 - 184)

Exempt supplemental information relating to the item on Part 1.

Transport for London

Minutes of the Safety, Sustainability and Human Resources Panel

Conference Rooms 1 and 2, Ground Floor, Palestra, 197 Blackfriars Road, London, SE1 8NJ

10.00am, Thursday 27 September 2018

Members

Kay Carberry CBE (Chair)
Dr Nina Skorupska CBE (Vice Chair)
Bronwen Handyside
Val Shawcross CBE

In Attendance

Rachel Cary GLA Policy and Programmes Manager

Executive Committee

Howard Carter General Counsel
Tricia Wright Chief People Officer

Present

Glynn Barton	Director of Network Management
Jackie Beer	Head of Diversity, Inclusion and Operational Culture
Jo Boyd-Wallis	Principal Strategy Planner, Surface Transport
Nicola Brady	Network Customer Experience Manager
Jill Collis	Director of Health, Safety and Environment
Tom Cunnington	Head of Buses Business Development
Adam Edwards	Lead Sponsor - Stations and Structures, Surface Transport
Ben Graham	Transformation Programme Manager
Karl Kulasingam	Roadworks Performance Manager
Sam Longman	Policy Manager for Environment
Claire Mann	Director of Bus Operations
Mike Shirbon	Head of Integrated Assurance
Joe Stordy	Data and Spatial Analysis Manager
Brian Woodhead	Director of Customer Service
James Varley	Secretariat Officer

41/09/18 Apologies for Absence and Chair's Announcements

An apology for absence had been received from Dr Mee-Ling Ng OBE. Shirley Rodrigues was unable to attend and Rachel Cary was representing her at the meeting. Staynton Brown and Gareth Powell were also unable to attend.

42/09/18 Declarations of Interests

Members confirmed that their declarations of interests, as published on tfl.gov.uk, were up to date and there were no interests that related specifically to items on the agenda.

43/09/18 Minutes of the Meetings of the Safety, Sustainability and Human Resources Panel held on 20 June 2018

The minutes of the meeting were approved as a correct record and were signed by the Chair.

44/09/18 Matters Arising and Actions List

Howard Carter informed Members that strategic risks had been discussed by the Audit and Assurance Committee and Board and the Panel would consider the strategic risks within its remit as a standing item on the agenda from the next meeting in December 2018.

The Panel was updated on the reporting of incidents. The Board had recently been informed of a complaint from a customer following an incident at Euston Station, which had highlighted a weakness in the process for recording injuries to customers. The process had been reviewed and updated. The website had been improved to allow for easier reporting and a system for analysing and acting on reported incidents had been introduced. The Board would receive an update on the matter. **[Action: Jill Collis]**

Work was underway on the high level initiatives for the Energy Strategy and information would be circulated to Members and followed up by a briefing session.

[Action: Alex Williams]

The Panel was informed that action was taking place to assess the opportunities for earlier delivery of a zero emission bus fleet. A clearer vision of the timescales and requirements would emerge at the start of 2019 and the Panel would be updated in due course. **[Action: Gareth Powell]**

The Panel noted the actions list.

45/09/18 Quarterly Health, Safety and Environment Performance Reports

Jill Collis introduced the report, which provided an overview of health, safety and environmental performance for London Underground, TfL Rail, Surface Transport and Crossrail services for Quarter 1 2018/19 (1 April to 23 June 2018).

Work was progressing on customer and workforce injuries, with improvements in the trends starting to show through. A significant focus had been on behavioural factors which required a programme of constant updating to ensure messages to staff and customers did not lose impact through repetition. The Major Projects directorate had engaged with staff and used their suggestions to identify and mitigate risk of injury and this had worked particularly well. The Rail Safety Standards Board was also undertaking work to encourage staff to be more aware of safety in their surroundings.

Staff were encouraged to report safety issues and this was followed up by feedback to demonstrate that where concerns were raised, they received the appropriate investigation. The Panel would be provided with information on the effectiveness of campaigns to increase reporting levels. **[Action: Jill Collis]**

Members discussed escalator safety and the risk of injury associated with customers with luggage. Escalator speeds were location specific to take into account customer profile and Travel Ambassadors had been deployed at stations to aid customers. An update on escalator safety would be provided to a future meeting. **[Action: Jill Collis]**

The Panel noted the report.

46/09/18 Vision Zero Update

Jo Boyd-Wallis and Joe Stordy introduced the item, which provided an update on the Vision Zero Action plan.

TfL had worked with regional and national stakeholders to create a delivery programme which was looking at lowering speed limits on the TfL Road Network as well as borough roads, creating safer junctions and the development of the Direct Vision Standard.

The Panel had been provided with a fact sheet summarising personal injury road traffic collisions and casualties in Greater London in 2017. Recent changes in collision reporting by the Metropolitan Police Service had seen an increase in injury rates due to the introduction of a more accurate injury assessment system.

Detailed analysis of the figures was taking place and the reduction on child fatalities was welcomed. Motorcyclists remained an over-represented group in causality numbers and a research programme would commence to look into actions to drive a downward trend.

Benchmarking activities would be taking place and future updates would include benchmarking.

The Freight Operator Recognition System (FORS) was continuing to expand into harder to reach sectors. To date, it had achieved 50 per cent membership within companies operating 1-10 vehicles and efforts were being made to reach operators using smaller vehicles, such as vans.

Research was taking place into pedestrian behaviours, which was also utilising lessons learnt from engagement with cyclists.

The Panel noted the paper.

47/09/18 Bus Safety Programme

Claire Mann and Tom Cunnington introduced the report, which provided an update on the progress of the programme and key deliverables.

The bus safety standard was a world-leading development, which focussed on vehicle design specification. This included speed limiting technology, automated emergency braking, safer interiors, improved vision for drivers and collision impact reduction measures.

Overcrowding on some routes was an issue and driver training and reviews of bus frequency were being used to address this.

A programme of research into fatigue and fatigue management, led by Loughborough University was due to commence shortly. Drivers and management would be encouraged to take part in the work and trades union engagement would take place.

The Panel noted the report.

48/09/18 Bus Driver Facility Improvements

Claire Mann and Adam Edwards introduced the paper, which provided an update on the programme.

Progress to date had been good with 42 sites identified as high priority on the forward programme and provision of permanent or temporary facilities at these sites was expected to be completed by July 2019, eight months ahead of schedule.

Members stressed the need to continue to improve facilities for drivers and not limit the programme to toilets but to consider what other welfare facilities may be appropriate.

Staff would investigate the possibility of different bus service operators sharing facilities located at bus garages.

The Panel noted the report.

49/09/18 Safety at Roadworks

Glynn Barton and Karl Kulasingam introduced the paper, which provided an analysis of the impact of roadworks as a contributory factor on injury rates to vulnerable road users.

Over 34,000 planned roadworks took place on the TfL Road network in 2017. TfL received 70,000 access requests with approximately 50 per cent rejected, mainly on grounds of safety. In addition to planned works, a further 10,000 emergency / urgent works took place, whereby notification was submitted after commencement of works.

In addition to the compliance team, technology was also used for monitoring roadworks, with the CCTV network being a useful resource as well as web applications to make reporting quicker and easier. Road users such as bus operators were also active in reporting.

A number of actions could take place to respond to non-complaint roadworks which included regular performance meetings with main works promoters, operation of a fixed penalty notice system and prosecution where necessary.

The Panel noted the report.

50/09/18 Reducing the Impact of Workplace Violence and Antisocial Behaviour on London Underground Staff

Brian Woodhead and Nicola Brady introduced the paper, which set out the plan for reducing instances of antisocial behaviour and violence across the London Underground network.

Approximately 1,000 incidents were reported each year, with improved reporting processes seeing a slight increase recently.

It was important that staff felt fully supported and customers felt safe on the network. TfL utilised British Transport Police, street pastors and technology such as body worn cameras to assist in targeting and managing incidents. Staff engagement workshops had taken place and sources such as the Viewpoint staff survey were used to draw out information.

In response to a question from the Panel, it was explained that alcohol was a significant and easy to recognise factor in incidents. It was difficult to tell whether legal and illegal drug consumption was also a trigger as it was more difficult to identify that form of intoxication.

An update on progress would be provided to a future meeting. **[Action: Mark Wild]**

The Panel noted the report.

51/09/18 Safeguarding in TfL

Tricia Wright introduced the item, which informed the Panel on the progress being made in raising awareness of safeguarding and embedding it into TfL's ways of working.

An update would be provided to a future meeting. **[Action: Staynton Brown]**

52/09/18 Human Resources Quarterly Report

Tricia Wright introduced the report, which provided an overview on key Human Resources led activities and statistics from Quarter 1 2018/19 (1 April to 23 June 2018).

The Viewpoint staff survey was due to be launched in October 2018 and engagement would take place with the trades unions to encourage participation and to also review the results when they were available. The Panel would receive a briefing on the results of the survey in due course. **[Action: Tricia Wright]**

The Panel welcome the introduction of the diversity and inclusion dashboards and an update on progress would be provided to a future meeting. **[Action: Staynton Brown]**

The Panel noted the report.

53/09/18 Gender and Ethnicity Pay Gap

Jackie Beer introduced the report, which provided an update on activities taking place to reduce TfL's Gender and Ethnicity pay gaps.

A comprehensive and holistic approach was being used to address pay gaps. A key part of this was obtaining high disclosure rates and the trades unions had assisted with this. Work needed to be focussed on having a measurable impact.

Activities in London Underground included reviewing the secondments process and analysing trades unions local agreements to ensure they were aligned with agreed outcomes. Recent recruitment of train managers had delivered successful outcomes in terms of black and minority ethnic (BAME) and gender representation in the application and assessment stages.

In the Technology and Data directorate, an anonymised shortlisting pilot took place which saw increases in the number of women and BAME hires.

Future activity would look at the mental health and well being strategy and also flexible working practices to ensure they did not disadvantage under-represented groups.

Members suggested working with the trades unions equality representatives to gain further insights into issues and staff concerns.

Future reports to the Panel would include further detail on longer term plans.

The Panel noted the paper.

54/09/18 Transformation Update

Ben Graham introduced the paper, which provided an overview of the programme.

The Panel noted the paper.

55/09/18 Air Quality Update

Sam Longman introduced the paper, which updated the Panel on implemented and forthcoming proposals to improve air quality.

The Ultra Low Emission Zone would commence operation in April 2019 and TfL was working on continuing to reduce emissions in the bus fleet and develop and promote the usage of electric vehicles.

Members commented that the communications strategy for air quality initiatives needed to be enhanced. The results of the ULEZ would be a major improvement in air quality for Londoners and it was important that Londoners understood what could be achieved.

TfL was working with the boroughs to develop bespoke strategies for their needs and encourage the development of rapid charging points for vehicles.

The Panel noted the paper.

56/09/18 Member Suggestions for Future Agenda Items

Howard Carter introduced the item. Members requested an item on Resource Management to include reference to reducing single use plastics.

The Panel noted the forward plan.

57/09/18 Any Other Business the Chair Considers Urgent

There was no urgent business.

58/09/18 Date of Next Meeting

The next scheduled meeting of the Panel would be held on Wednesday 5 December 2018 at 10.00am.

59/09/18 Close of Meeting

The meeting closed at 12.30pm.

Chair: _____

Date: _____

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Date: 5 December 2018

Item: Actions List

This paper will be considered in public

1 Summary

1.1 This paper informs the Panel of progress against actions agreed at previous meetings.

2 Recommendation

2.1 **The Panel is asked to note the Actions List.**

List of appendices to this report:

Appendix 1: Actions List

List of Background Papers:

Minutes of previous meetings of the Panel

Contact Officer: Howard Carter, General Counsel
Number: 020 3054 7832
Email: HowardCarter@tfl.gov.uk

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Safety, Sustainability and Human Resources Panel Actions List (reported to the meeting on 5 December September 2018)

Minute No.	Description	Action By	Target Date	Status/note
44/09/18	Matters Arising and Actions List The TfL Board would be provided with an update on public reporting of incidents.	Jill Collis	12 November 2018	Completed. An email was circulated on 12 November 2018.
	A briefing session would be arranged to discuss the main initiatives for the Energy Strategy.	Alex Williams	26 November 2018	Completed. Briefing took place on 26 November 2018.
	The Panel to be given an update on the possibility of an early delivery of the zero emission bus fleet.	Gareth Powell	Spring/Summer 2019	Work remains ongoing.
45/08/18	Quarterly HSE Performance Report The Panel would be provided with information on the effectiveness of staff safety campaigns.	Jill Collis	5 December 2018	Update to be given at meeting.
	An update on escalator safety would be provided to a future meeting.	Jill Collis	5 December 2018	On agenda for this meeting.
50/09/18	Reducing the Impact of Workplace Violence Provide an update to a future meeting.	Nigel Holness	September 2019	On agenda forward plan for September 2019.
51/09/18	Safeguarding in TfL Provide an update to a future meeting.	Staynton Brown	Spring 2019	To be scheduled after audit in spring 2019.

Minute No.	Description	Action By	Target Date	Status/note
52/09/18	Human Resources Quarterly Report Provide a briefing on the Viewpoint Survey Results.	Tricia Wright	Spring 2019	To be arranged following analysis of the results in spring 2019.
	Provide an update on the Diversity and Inclusion Dashboards.	Staynton Brown	Summer 2019	On Forward Plan.

Outstanding actions from previous meetings.

Minute No.	Description	Action By	Target Date	Status/note
32/06/18	Improving Cyclist Safety in London Provide a note on modal shift in cycling.	Lilli Matson	-	In progress.



Date: 5 December 2018

Item: Review of CIRAS impact

This paper will be considered in public

1 Summary

- 1.1 This paper provides an annual overview of the contacts made to the Confidential Incident Reporting System (CIRAS), themes arising and how these compare with other sectors. It also explores lessons that can be learned from why people choose to report confidentially.
- 1.2 TfL subscribes to CIRAS an independent confidential reporting system for member organisations across the UK on matters relating to transport health and safety. CIRAS offers a corporate safety net that ensures safety, health or other concerns are captured and with CIRAS' help, investigated to a successful and satisfactory conclusion. This is an external service which complements our internal reporting systems and procedures. It allows employees to raise concerns relating to safety, health and wellbeing in strict confidence. We ensure that all employees are aware of CIRAS as well as our own internal reporting systems. On receipt of reports from the confidential reporting agency, we investigate the issue, provide a response and take action as necessary.
- 1.3 TfL also has its own arrangements in place to provide an external independent reporting mechanism for anyone who works for TfL to raise concerns within a safe environment. While this "SafeLine" mechanism can be used to report health and safety issues, it also covers fraud and integrity and Human Resource issues. In addition to SafeLine, a further source of information on potential wrongdoing is through reports received by Crimestoppers that are copied to us if they relate to TfL staff or our businesses.
- 1.4 The CIRAS and SafeLine independent reporting mechanisms are in addition to normal reporting channels. We have committed to protect anyone who raises such matters, provided the disclosures are made without malice and in good faith, regardless of whether the concern raised is upheld.
- 1.5 Appendix 1 is an overview of the reports that have been raised for TfL.

2 Recommendation

- 2.1 **The Panel is asked to note the paper and presentation.**

List of appendices to this report:

Appendix 1 – CIRAS presentation – The impact of confidential reporting

List of Background Papers:

None

Contact Officer: Jill Collis, Director Health Safety Environment
Number: 020 3054 8158
Email: JillCollis@tfl.gov.uk



Impact of confidential reporting

Catherine Baker

Director-CIRAS

CIRAS – working with TfL

Confidential reporting

Surfacing concerns that are otherwise not heard:

- Fear
- Internal channels have not worked

Closing the loop – reporters can see the impact of their courage to report

Facilitating improvements:

- Action to address concerns
- Better communication where the report arose from a mis-perception

- Positive reporting culture is part of a mature safety culture

Shared learning community

1800+ CIRAS members

Reports and responses shared so others can learn

Events bring together safety professionals around a topic

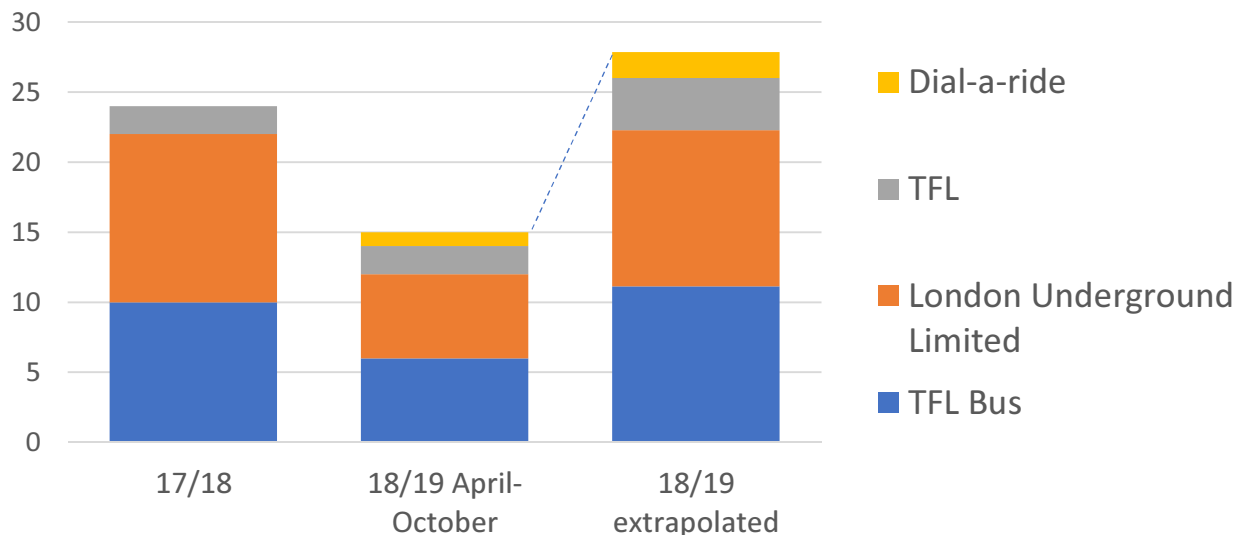
Good practice sharing online and in newsletters

Partnering with members to pilot solutions to common concerns

- Abellio buses

CIRAS reports - headlines

Number of CIRAS reports for TfL



Top topics 2018/19



Fatigue



Equipment



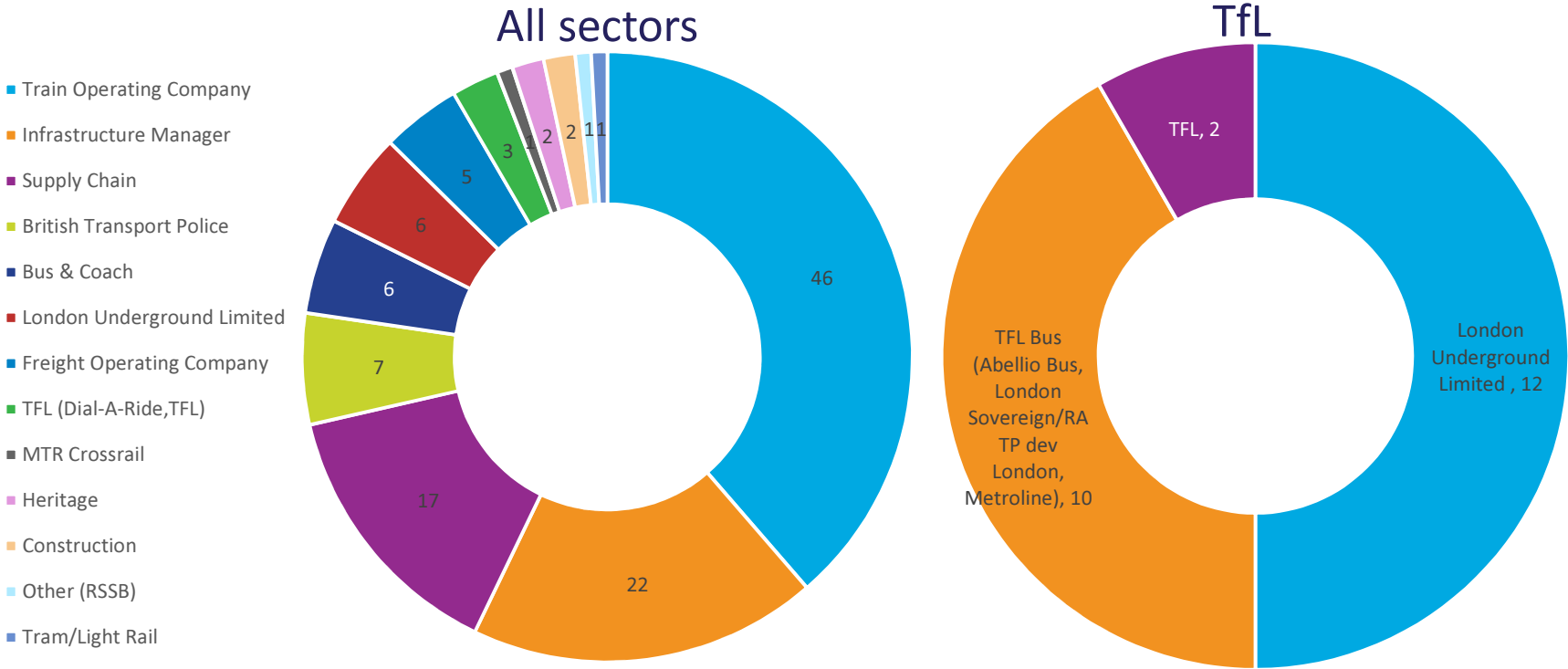
Health and wellbeing

Third party reporting far less common across TfL than national rail

Top perceived root cause 2018/19: EQUIPMENT

- Unreliable / faulty / not working
- Not available
- Poor usability

CIRAS report numbers – 2018/19 so far



TfL figures exclude reports to other operators working for TfL:

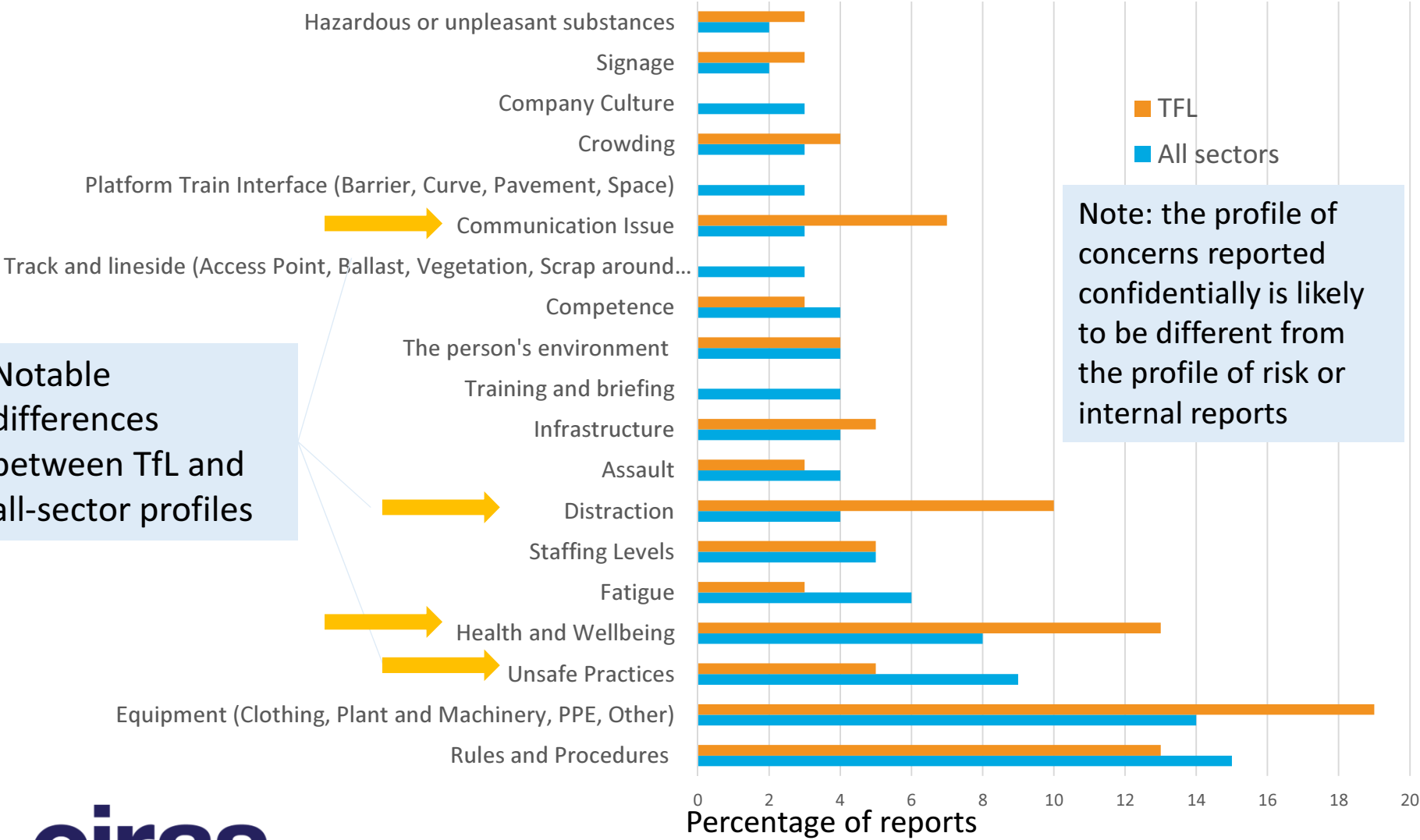
- MTR Crossrail, Arriva Rail London, Keolis Amey Docklands, Tram Operations Limited

Note: Emirates Air Line, river bus and cruise operators are not currently CIRAS members

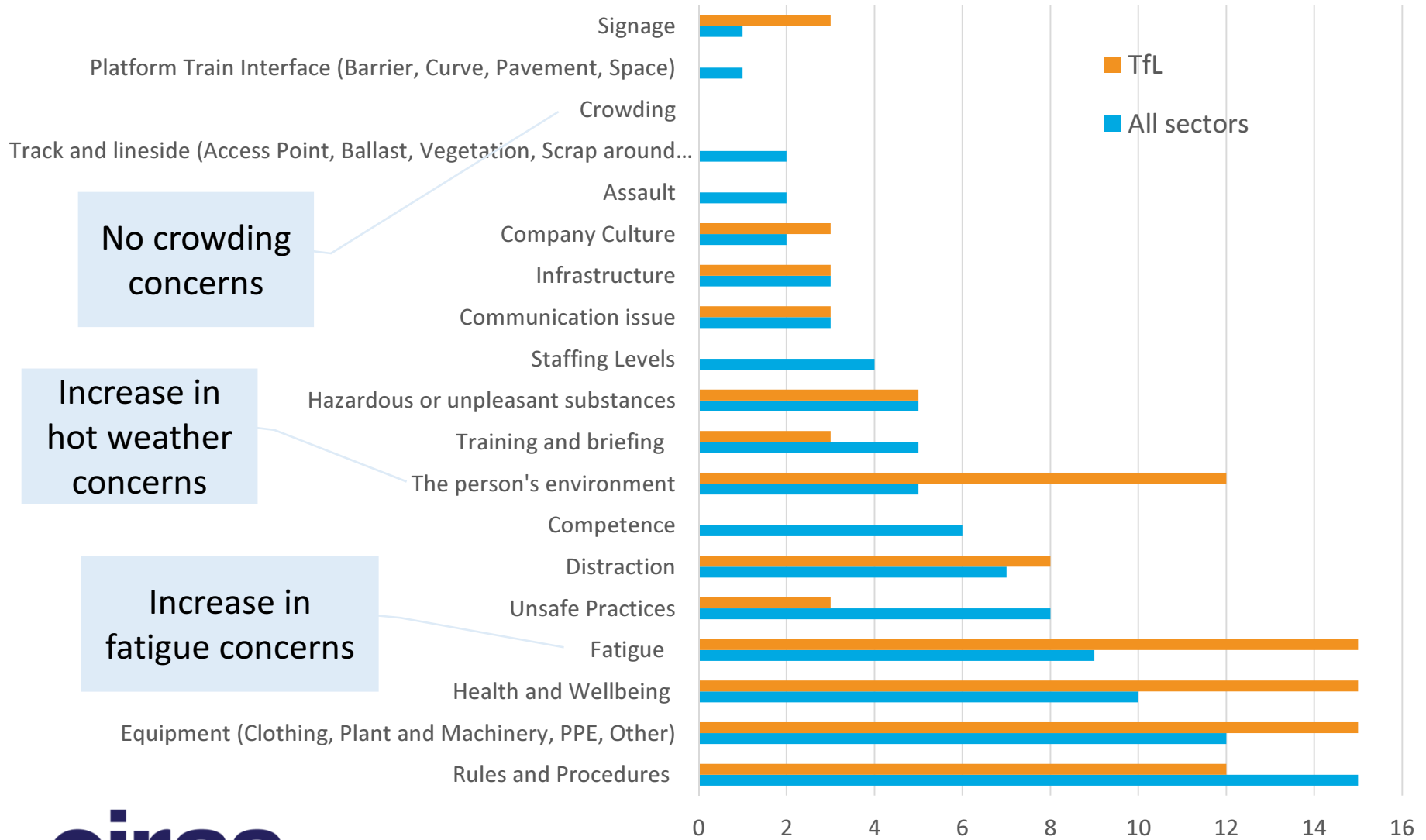
Reporting themes – profile comparison 2017/18

Notable differences between TfL and all-sector profiles

Note: the profile of concerns reported confidentially is likely to be different from the profile of risk or internal reports



Reporting themes – 2018/19 so far



No crowding concerns

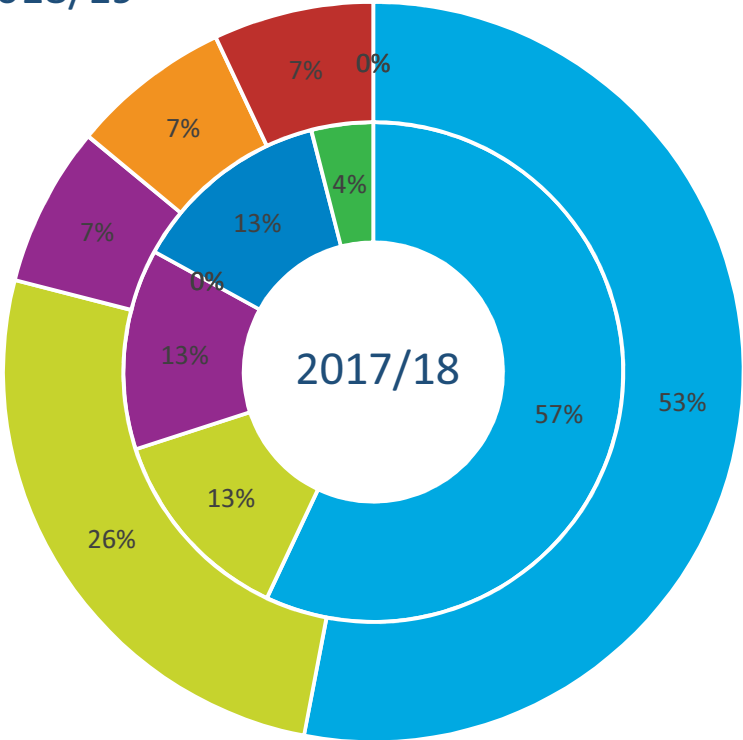
Increase in hot weather concerns

Increase in fatigue concerns

Page 20

Perceived root causes – trends

2018/19



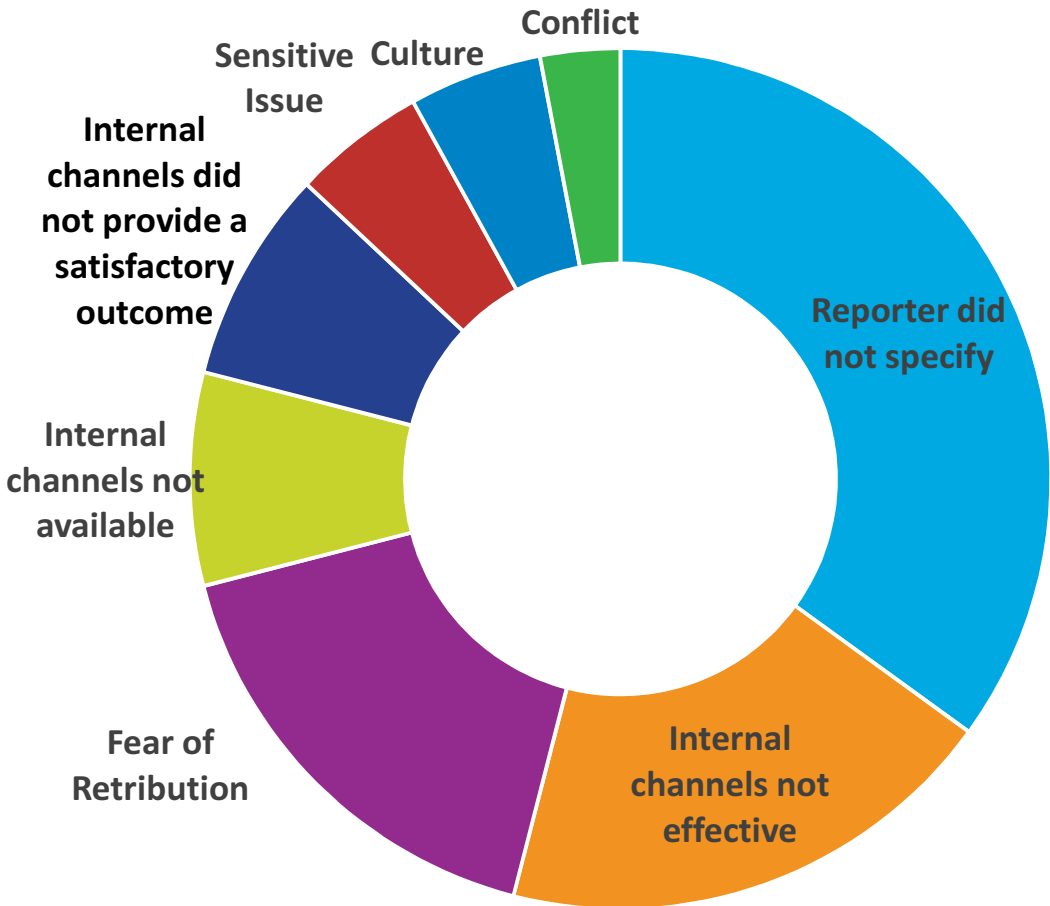
- Infrastructure Vehicles Equipment Clothing
- Risk Management
- Processes & Procedures
- Competence Management
- Verbal Communication
- Rostering
- Intentional Rule Breaking

Reporters view of root cause – TfL’s investigation may conclude differently

Both years: equipment issues top of the list

Why do people say they come to CIRAS?

Why I reported through CIRAS - All sectors 18/19



Most reporters go internally first – TfL 2018/19



So far this year reasons given by TfL reporters have all been:

- Fear of retribution
- Sensitive issue



CONFIDENTIAL REPORTING FOR SAFETY

Report hotline 0800 4 101 101

Text 07507 285 887

Freepost CIRAS

www.ciras.org.uk

CIRAS reporters – changing views on TfL safety culture



The stories behind the numbers

Issues affecting passenger safety

Concern

5.5 hour driving restriction in dial-a-ride not being enforced leading to fatigue and potential accident

Response

Review of break scheduling and longer buffer times in case of traffic.
Reminder to drivers to proactively highlight if there is an issue on their shift.

Concern

Broken Closure boards at Green Park station – could result in drivers evacuating passengers onto closed platforms.

Response

Closure board fixed.

Identified need to ensure priority escalation of safety critical fault reports. Concern had been reported internally but not resulted in a fix.

The stories behind the numbers

Issues affecting staff health, wellbeing and safety

Concern

Excessive temperatures in bus cabs due to inadequate air conditioning during hot weather – leading to ill health concerns as well as risk of accident

Response

Acknowledgement of concern.
Continuation of existing programmes of maintenance and upgrade of aircon.

Concern

Material resembling asbestos seen on battery locomotives in West Ruislip – concern about exposure leading to asbestosis.

Response

New asbestos survey was underway anyway as part of managing known asbestos presence.
A safety bulletin was issued to remind staff of asbestos locations and action to take if it is damaged.
Hazardous material training and specialist briefings arranged.

TfL buses – impact of a CIRAS report

Embed the RATP-Dev video here (1:53)
- solution found by sharing welfare facilities

CIRAS community

1883 members:

- TfL – including London bus operators
- Network Rail
- Suppliers of trackside staff (sentinel)
- Trams & light rail
- Regional bus operators
- Construction



Shared learning & good practice sharing Events:

- June: health and wellbeing
- November: seasonal safety

Newsletters

Online member hub for reports

STAFFING LEVEL ISSUES AT WHITECHAPEL AND ALDGATE EAST UNDERGROUND STATIONS

Report Number: 55713

September 2018

[PRINT](#)

Concern

A reporter has raised a safety concern regarding staffing levels at Whitechapel and Aldgate East stations.

Response

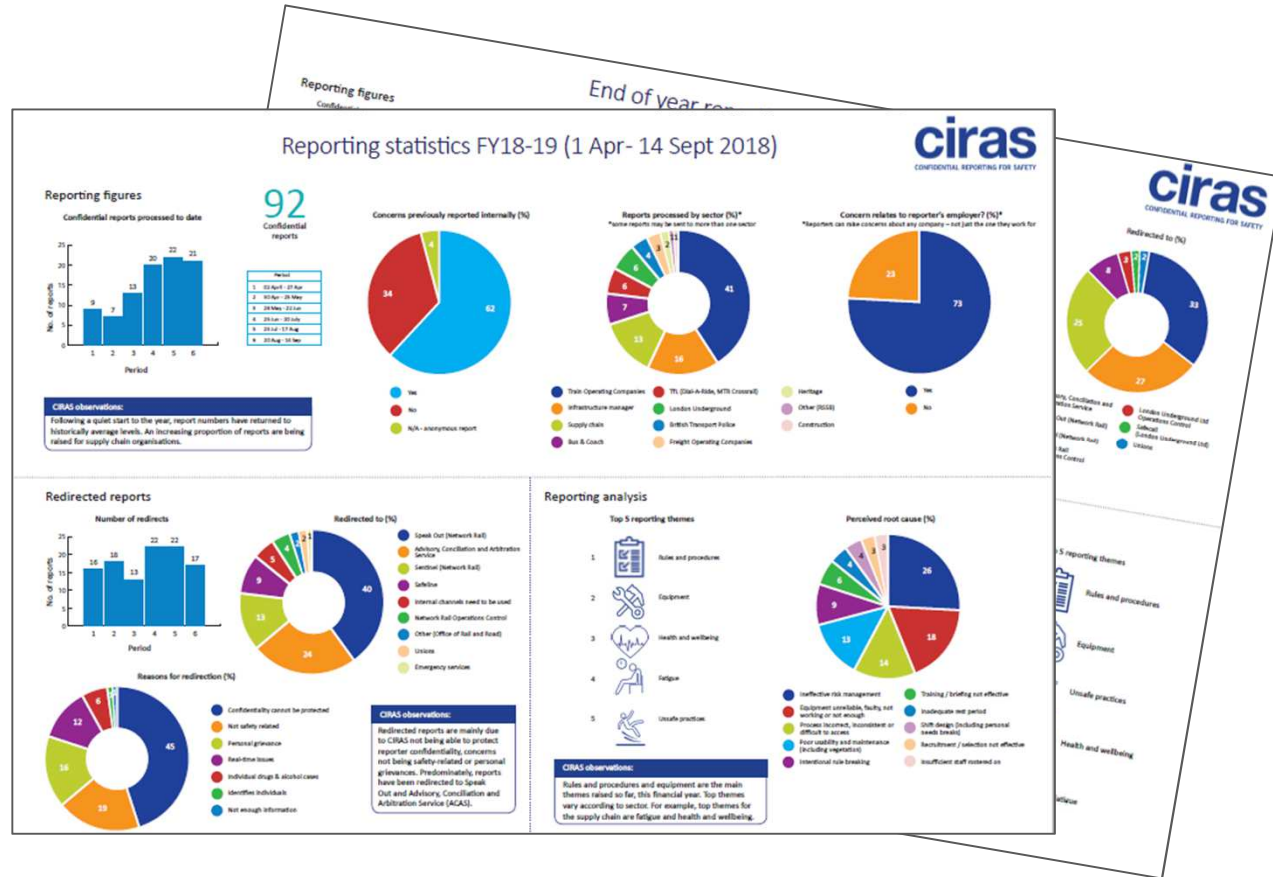
Firstly, TfL would like to thank the Reporter for raising their concerns about staffing levels at Whitechapel and Aldgate East station.

Actions

Sample check of on duty staff, what license they hold, and if they are only carrying out duties they are licensed and trained for. They were all found to be in order.

CIRAS community

Transparently sharing data to provoke debate and encourage reporting
 - Always protecting confidentiality



Maintaining awareness

Important to keep reminding staff that the CIRAS channel is there.

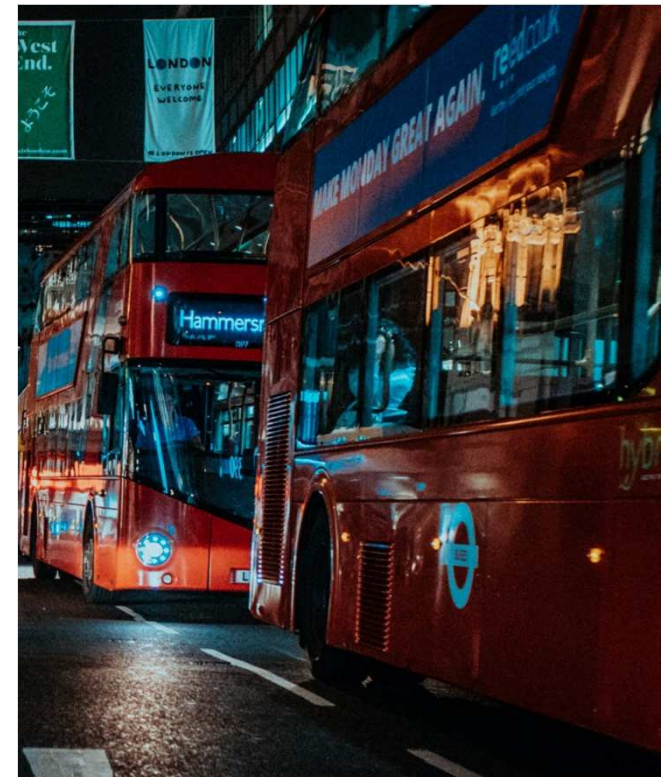
- Posters
- Newsletters by email and in staff locations
- CIRAS presence at staff events



LUL open house Stratford - 3 August 2018.
Nigel Holness (Tfl) + Amanda O'Donoghue (CIRAS)



CIRAS participation in Bus safety summit, 16 October 2018



CIRAS: Adapting to meet future needs

CIRAS Advisory committee

- Member representatives – including TfL
- Union representatives from UNITE and RMT
- Independent experts

advice

CIRAS

- Financially and operationally independent
- Funded by our members for our members

2019+

Community

- Expand (tram, bus & coach, transport supply chain)
- Enhance shared learning

Customer service

- Reporter access routes
- Digital promotion
- Maintaining human face

support

RSSB Parent company

- Access to wealth of health and safety expertise
- Support services enabling CIRAS to focus on members

Discussion

Contact us

Reporting

Report hotline 0800 4 101 101

Text 07507 285 887

Freepost CIRAS

General enquiries

0203 142 5369

enquiries@ciras.org.uk

Follow us

Twitter [@CIRAS_UK](https://twitter.com/CIRAS_UK)

LinkedIn [CIRAS](https://www.linkedin.com/company/ciras)

www.ciras.org.uk

Date: 5 December 2018

Item: Quarterly Health, Safety and Environment Performance Report

This paper will be considered in public

1 Purpose

- 1.1 This report provides an overview of the health, safety and environment (HSE) performance for London Underground (LU), TfL Rail, Surface Transport (including London Rail) and Crossrail.
- 1.2 Generally, this report covers 24 June – 15 September 2018 inclusive, referred to as Quarter 2.

2 Recommendation

- 2.1 **The Panel is asked to note the report.**

List of appendices to this report:

Appendix 1: Health, Safety and Environmental Performance – Quarter 2 – 2018/19

List of Background Papers:

None

Contact Officer: Jill Collis, Director of Health, Safety and Environment
Number: 020 3054 8158
Email: jill.collis@tube.tfl.gov.uk

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Transport for London Health, Safety and Environment report

Quarter two (24 June 2018 – 15 September 2018)

MAYOR OF LONDON



**TRANSPORT
FOR LONDON**
EVERY JOURNEY MATTERS

About Transport for London (TfL)

Part of the Greater London Authority family led by Mayor of London Sadiq Khan, we are the integrated transport authority responsible for delivering the Mayor's aims for transport.

We have a key role in shaping what life is like in London, helping to realise the Mayor's vision for a 'City for All Londoners'. We are committed to creating a fairer, greener, healthier and more prosperous city. The Mayor's Transport Strategy sets a target for 80 per cent of all journeys to be made on foot, by cycle or using public transport by 2041. To make this a reality, we prioritise health and the quality of people's experience in everything we do.

We manage the city's red route strategic roads and, through collaboration with the London boroughs, can help shape the character of all London's streets. These are the places where Londoners travel, work, shop and socialise. Making them places for people to walk, cycle and spend time will reduce car dependency and improve air quality, revitalise town centres, boost businesses and connect communities.

We run most of London's public transport services, including the London Underground (LU), London Buses, the DLR, London Overground (LO), TfL Rail, London Trams, London River Services (LRS), London Dial-a-Ride, Victoria Coach Station (VCS), Santander Cycles and the Emirates Air Line (EAL). The quality and accessibility of these services is fundamental to Londoners' quality of life. By improving and expanding public transport, we can make people's lives easier and increase the appeal of sustainable travel over private car use.

We are moving ahead with many of London's most significant infrastructure projects, using

transport to unlock growth. We are working with partners on major projects like Crossrail 2 and the Bakerloo line extension that will deliver the new homes and jobs London and the UK need. We are in the final phases of completing the Elizabeth line which, when it opens, will add 10 per cent to London's rail capacity.

Supporting the delivery of high-density, mixed-use developments that are planned around active and sustainable travel will ensure that London's growth is good growth. We also use our own land to provide thousands of new affordable homes and our own supply chain creates tens of thousands of jobs and apprenticeships across the country.

We are committed to being an employer that is fully representative of the community we serve, where everyone can realise their potential. Our aim is to be a fully inclusive employer, valuing and celebrating the diversity of our workforce to improve services for all Londoners.

We are constantly working to improve the city for everyone. This means freezing TfL fares so everyone can afford to use public transport, using data and technology to make services intuitive and easy to use, and doing all we can to make streets and transport services accessible to all. We reinvest every penny of our income to continually improve transport networks for the people who use them every day.

None of this would be possible without the support of boroughs, communities and other partners who we work with to improve our services. We all need to pull together to deliver the Mayor's Transport Strategy; by doing so we can create a better city as London grows.

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Introduction

Our vision at Transport for London is that everyone will go home safe and healthy every day. Performance in the second quarter of this year shows:

- we are meeting our target for customer and workforce injuries
- 11 per cent fewer workforce injuries and 1.6 per cent fewer customer injuries across our public transport networks compared with the same quarter last year
- 17 per cent fewer injuries to our construction workforce compared with the same quarter last year
- six per cent fewer customer injuries on our bus network, as a consequence of a reduction in the number of injuries arising from slips, trips and falls, and collisions.

However, this quarter:

- our buses have been involved in collisions that have resulted in the deaths of three other road users and a customer has also been fatally injured on board a bus
- six per cent more people were killed or seriously injured (KSI) on London's roads than in the same quarter last year, with the greatest increase amongst cyclists.

During the quarter, the Mayor, TfL and the Metropolitan Police launched the Vision Zero Action Plan for London, making public our ambitious targets to eliminate death and serious injury from our road and transport networks by 2041. The Action Plan takes an internationally recognised approach to road danger reduction and is underpinned by a fundamental conviction that loss of life and serious injuries are not acceptable. Our focus is on the design and management of our transport networks to

deliver safe vehicles, travelling on safe streets and rail infrastructure at safe speeds. The final component is creating safe behaviour by those who work and travel on our networks through education, monitoring and, where necessary, enforcement activity.

Other notable health, safety and environment initiatives during the quarter include:

- the launch of our "Stairs Excellence" programme, which builds on the success of our Escalator Excellence scheme on London Underground (LU)
- the opening of the extension of Cycle Superhighway 6 and our second full Quietway; adding to London's cycling network and also introducing safety benefits for pedestrians
- the greening of our fleet through the award of the contract for the new Dial-a-Ride (DAR) fleet, introducing vehicles that meet the requirements of the Ultra Low Emission Zone
- the ongoing roll out of buses that meet the challenging EuroVI standard
- the launch of a new five-year Health, Safety and Environmental Strategy for our major projects.

We continue to influence the safety performance of others through the standards we set and the support we provide. On our bus network we received a number of positive results from the bus operator trials we funded under the Bus Safety Innovation fund. We have continued our work on both the revised standard for the Freight Operator Recognition Scheme (FORS) and the new Bus Safety Standard, in preparation for their launch in quarter 3. We are also playing a significant role in driving safety improvements on the Thames, leading on safety within the London Passenger Pier Strategy.

Gareth Powell
Managing Director
Surface Transport

Nigel Holness
Managing Director
London Underground

Stuart Harvey
Director
Major Projects

Jill Collis
Director
Health, Safety and Environment



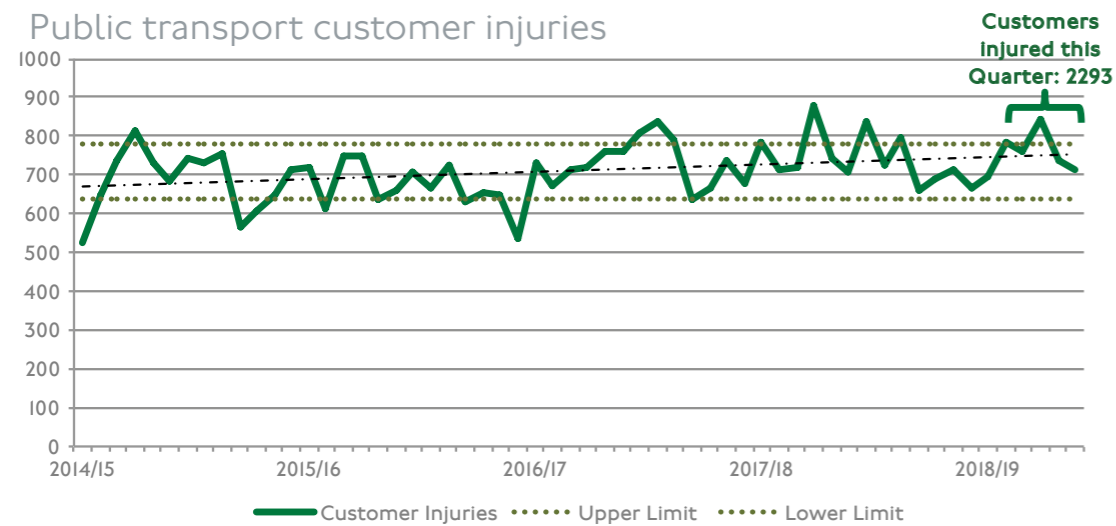
Performance at a glance

2018/19 TfL Scorecard

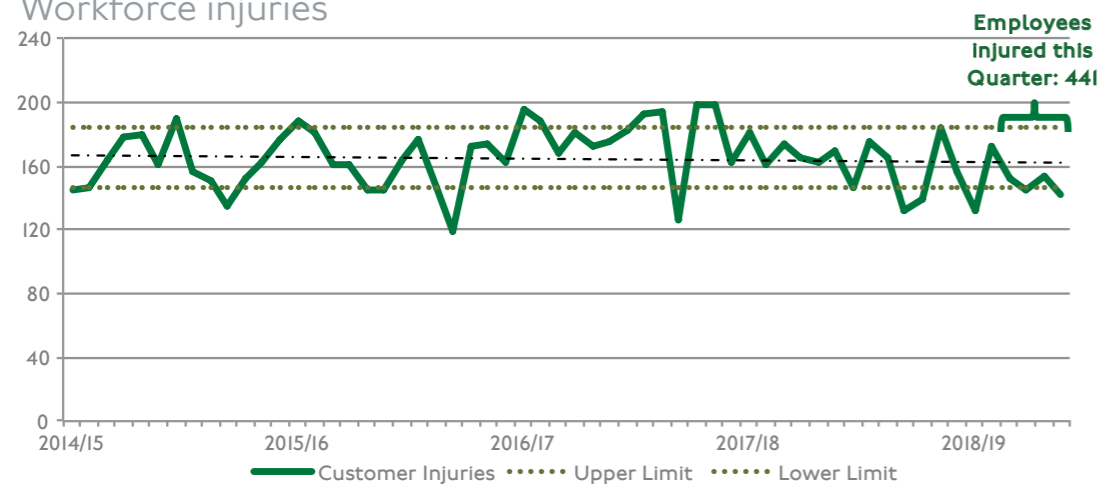
Long Term Objectives	2018/19 Scorecard	Year to date	
Outcome	Measure	Actual	Target
Healthy Streets and healthy people (18%)			
London's transport system will be safe and secure.	Reduction in people killed or seriously injured on the roads from 2005-09 baseline (%)	37.9 ■	44.4
	Reduction in people killed or seriously injured on the roads from 2005-09 baseline (incidents involving buses)(%)	67.6 ■	58.4
	Injuries on the public transport network	5418 ■	5462
London's streets will be clean and green.	Number of London's buses that are Euro VI compliant	5560 ■	n/a

Customer and workforce injuries

Public transport customer injuries



Workforce injuries

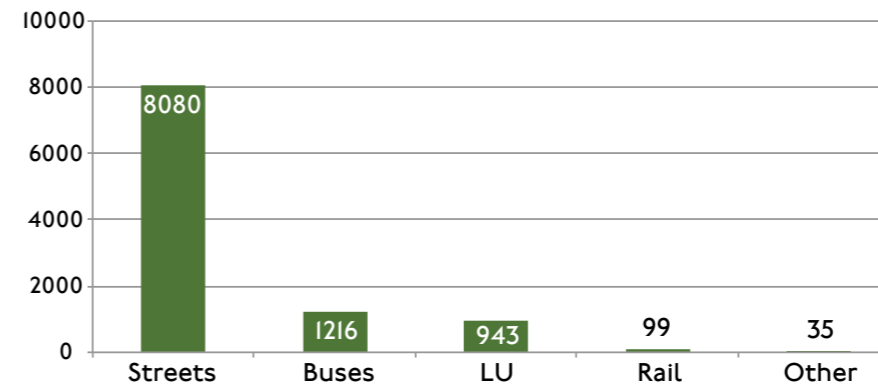


Injuries on London's road and public transport networks

There were 8,080 injuries on London's roads during this quarter. This included 27 fatalities, compared with 22 in quarter 2 last year.

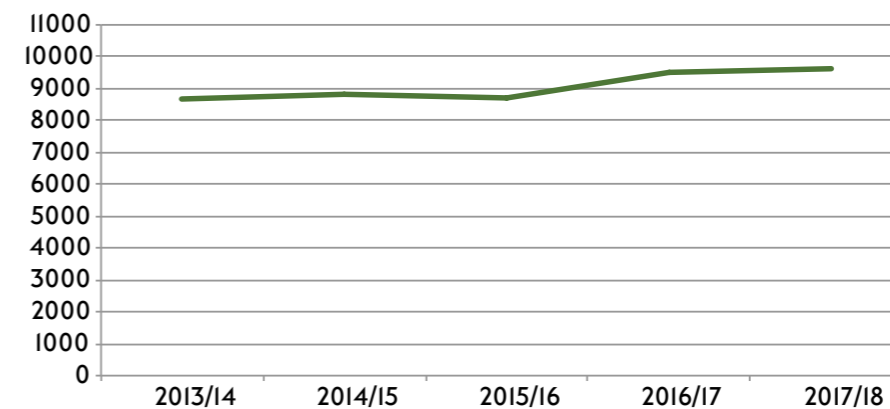
Across our public transport networks, a total of 2,293 customers were injured, down 1.6 per cent against the same quarter of last year.

Number of customer injuries on the road and public transport networks (Quarter 2)



Customer injuries

Annual totals



3.1

Number of injuries per million passenger journeys on the tube network (4% ▲ against Q2 2017/18)



2.5

Number of injuries per million passenger journeys on the bus network this quarter* (3% ▼ against Q2 2017/18)



1.1

Number of injuries per million passenger journeys within our rail division this quarter (12% ▲ against Q2 2017/18)



4.9

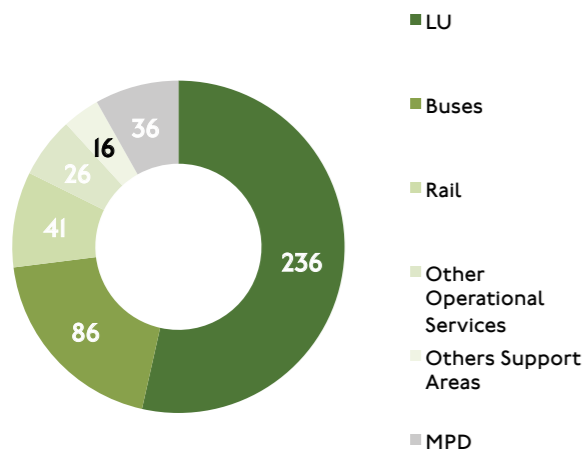
Number of injuries per million passenger journeys within our other operations this quarter (8% ▼ against Q2 2017/18)



* Injuries to members of the public who are not bus customers are included in the Killed or Seriously Injured (KSI) figures within the streets section.

Number of workforce injuries on the network (quarterly)

There were a total of 441 injuries to our workforce, an 11 per cent decrease on the same quarter last year.



236

Number of workforce injuries on the LU network this quarter (2.2% ▲ compared to Q2 2017/18)



86

Number of workforce injuries on the Bus network this quarter (23.9% ▼ compared to Q2 2017/18)



54

Number of total construction workforce injuries quarter (10% ▼ compared to Q2 2017/18)



Significant incidents

Significant incidents are those incidents that result in a fatality, 3 or more people requiring hospital treatment, or those resulting in a loss of more than £1 million. There were 28 significant incidents across London's road and public transport networks; all of which were fatalities:

- a bus passenger died from injuries sustained in a fall on route W8 bus.
- three road fatalities during the quarter involved buses:
 - A cyclist was fatally injured in a collision with a route 370 bus on Upminster Road, Romford.
 - A pedestrian was fatally injured in a collision with a route 39 bus on Falcon Road, Battersea.
 - A pedestrian was fatally injured in a collision with a route 55 bus on Lea Bridge Road, Leyton.
- a further 24 people were killed on London's roads:
 - twelve pedestrians
 - six motorcyclists
 - two car drivers
 - three cyclists
 - one carriage driver.

Police investigations are underway for these incidents.

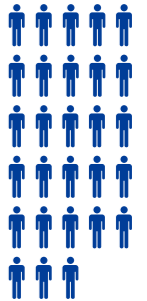
The Sarah Hope Line offers comprehensive help and support to anyone involved in, or affected by, a serious incident on our network. The Sarah Hope Line received 162 calls in quarter 2, resulting in 50 new cases of people needing our help. The team continue to provide support to the people affected by the Sandilands tram overturning.

The team continued to promote its services and work with stakeholders such as the London Air Ambulance, British Transport Police, King's College major trauma unit and the MPS.

28

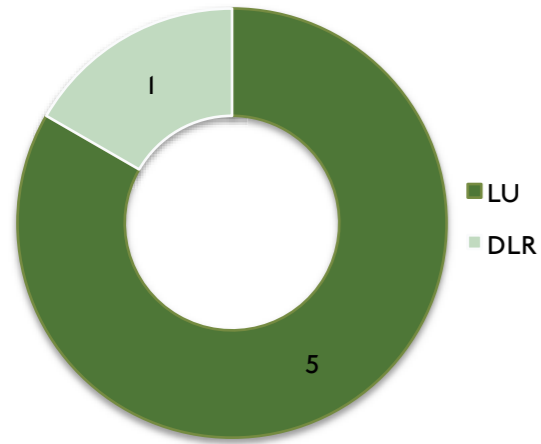
Number of accidental fatalities

(27% ▲ against Q2 2017/18)



Statutory reporting of customer and workforce injuries

Customer RIDDORs

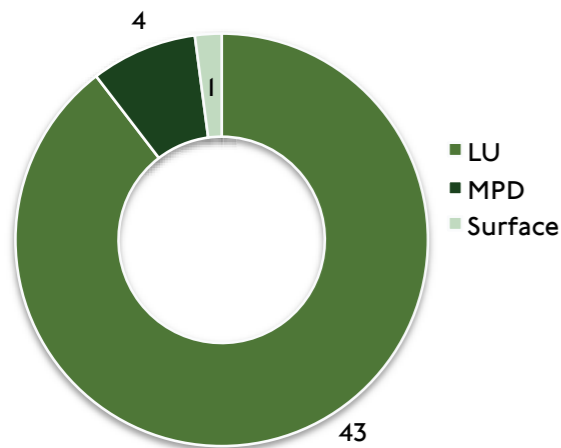


A total of 54 customer and workforce injuries were reported to our regulators; the Health and Safety Executive (HSE) or the Office of Rail and Road (ORR). Forty-eight occurred on our LU network.

Customer injuries

Injuries to six customers required reporting to our regulators this quarter. The injuries arose from four fall events from the platform onto the track and entrapment in a closing train door on our LU network. On our DLR network, a customer fell in a concourse area on a wet surface.

Workforce RIDDORs

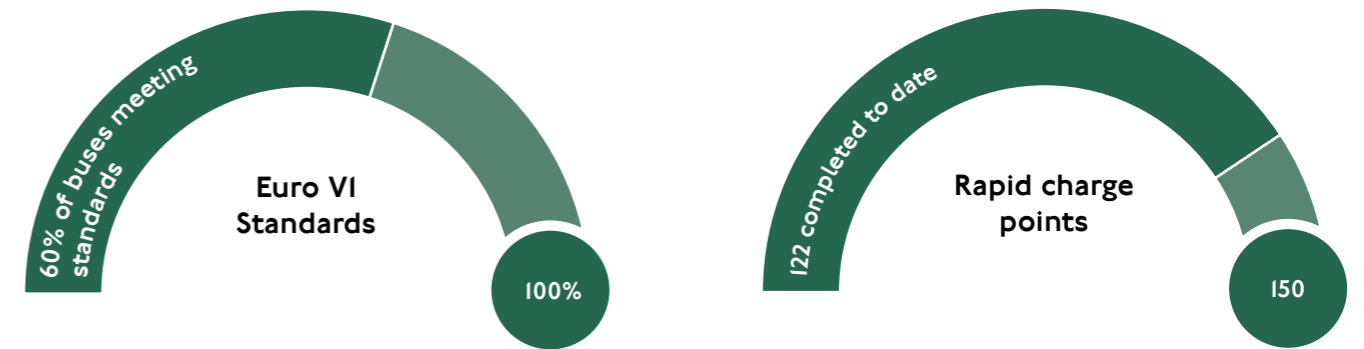
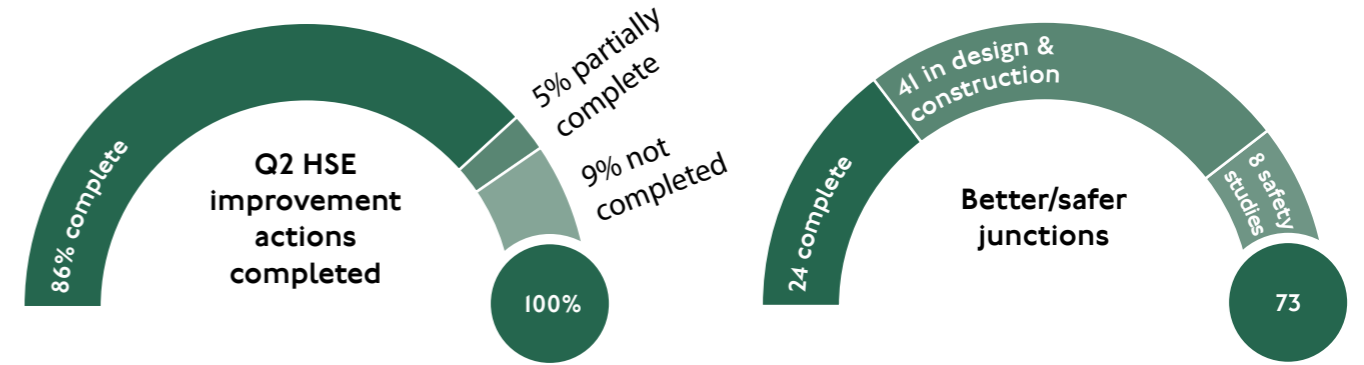


Workforce injuries

All reportable incidents affecting the workforce this quarter were minor and triggered by the seven day absence criteria within regulations, rather than the severity of the injury.

Workplace violence and slips, trips and falls accounted for 29 per cent and 25 per cent of the reportable workforce incidents respectively. This is followed by manual handling related incidents and instances of injuries connected with contact with machinery/equipment/power tools, both accounting for 21 per cent each.

Health, Safety and Environment Improvements



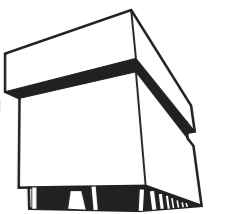
18 stations in "Stair excellence" scheme



400 Number of Zero Emission Capable taxis licensed in London



13% improvement in building energy efficiency at TfL head office





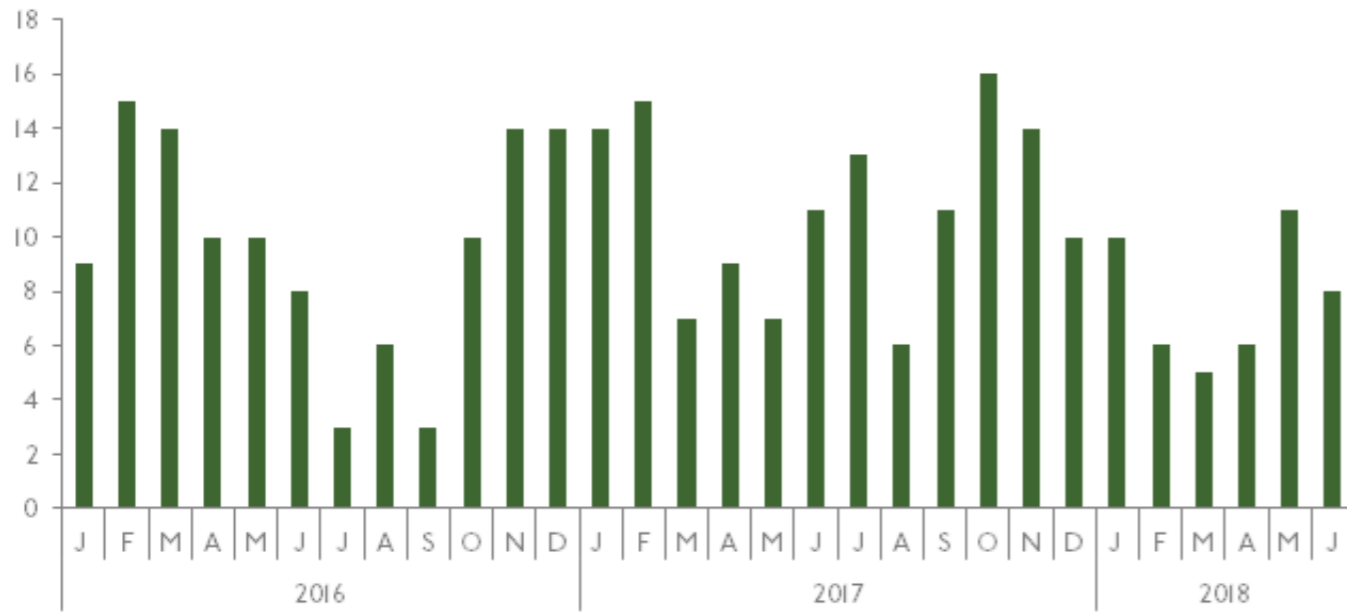
London's
transport
system will
be safe and
secure

Overview

Q2 Performance	Q2 Improvement activities
<ul style="list-style-type: none"> ✗ A total of 25 deaths were recorded on London's roads, compared with 27 in the same quarter last year ✗ Males accounted for three-quarters of all fatalities ✗ KSI increased by six per cent compared to the same quarter last year ✗ Greatest increase in KSI's was among cyclists (8.5 per cent increase in levels of cycling, with a 21 per cent increase in fatalities) ✓ Pedestrians killed or seriously injured fell by three per cent compared with the same quarter last year 	<ul style="list-style-type: none"> ✓ Vision Zero Action Plan launched ✓ Phase 2 of Cycle Superhighway 6 opened ✓ Quietway 2 opened ✓ New intelligence-led enforcement deployment system launched

Fatalities on London's roads

(2017 and 2018 figures are provisional)

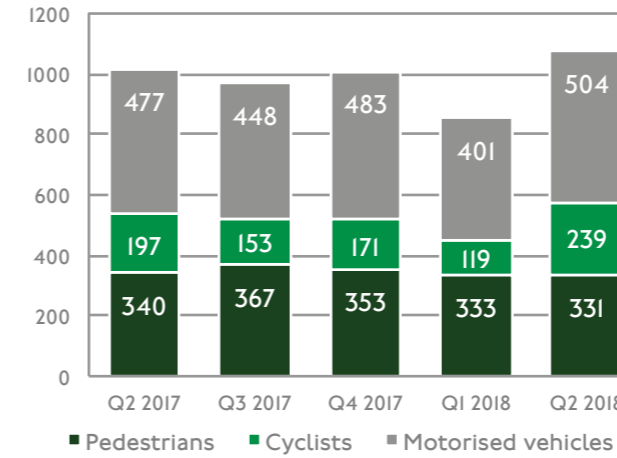


Road safety data is reported by calendar month. For the most recent quarter available, April–June 2018, a total of 25 deaths were recorded on London's roads, compared with 27 for the same period in 2017. Nineteen of the 25 people killed were male. All incidents involved adults over the age of 18; five were 60 years of age or over. The individuals killed in these incidents included pedestrians (8), pedal cyclists (4), motorcyclists (11), a car driver and a car occupant.

To ensure we understand the causes of fatalities and identify any actions we need to take, we liaise with collision investigators from the police to review the circumstances of each fatal collision. We work closely with Police Traffic Management Officers to ensure site visits are carried out to identify any issues and potential improvements to our network.

People killed or seriously injured*

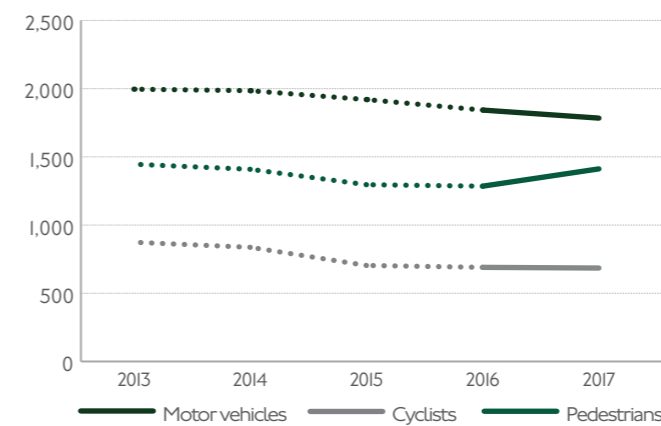
Past five quarters (type of user)



* Road safety data is based on calendar quarters rather than financial quarters. This data is subject to change as this information is reviewed and managed by the MPS.

The provisional KSI figures indicate that the number of people KSI increased by six per cent in quarter 2 of 2018 compared to the same quarter last year. The greatest increase (21 per cent) was amongst cyclists in quarter 2 of 2018 compared to the same quarter last year. This was in part due to the dry, warm weather increasing cycling levels by 8.5 per cent in central London in quarter 2. During quarter 2 there was a three per cent reduction in pedestrians killed or seriously injured compared with quarter 2 2017.

Annual totals**



** Figures from the end of 2016 have been reported using a new system (COPA). The dotted lines in the graph for calendar years 2013–2016 denote back-estimated figures following analysis undertaken with the Transport Research Laboratory to indicate how KSIs would have been reported under this system in previous years. The results of this exercise are shown as a dotted line in the chart.

Since 2013 there had been a sustained reduction in the number of cyclists and users of motorised vehicles killed or seriously injured, but in 2017 there was an increase of 9.8 per cent in the number of pedestrians killed or seriously injured.



Vision Zero action plan

Taking forward the Mayor's Transport Strategy

MAYOR OF LONDON



Vision Zero launches in London

Vision Zero action plan

The Vision Zero Action Plan was published on 24 July 2018 and outlines a range of actions to be delivered in collaboration between TfL, the Metropolitan Police Service (MPS), the London boroughs and other partners. It puts the elimination of road danger at the heart of the transport system and helps realise the ambition in the Mayor's Transport Strategy that no-one will be killed or seriously injured on London's transport system by 2041. The Plan is based on a Safe Systems approach and sets out actions with respect to vehicle speed; street design; vehicle design and compliance; behaviours and post-collision learning. The Plan focuses primarily on the period to 2022/23, in line with TfL's Business Plan.

Our focus remains on engaging with key national and regional stakeholders to help us raise public and political awareness of the Plan and our new approach to Road Danger Reduction.

We are now developing engagement programmes which will play an integral role in the delivery of the actions in the action plan. This includes boroughs, bus operators, community groups, taxi, private hire and motorcycling sectors, as well as an engagement plan for reduced speed limits on the Transport for London Road Network (TLRN) and how all levels of Government are engaged on Vision Zero.

"Travelling enriches our life and enhances our health and wellbeing by being more active. This programme will complement the existing Safer Junctions and Liveable Neighbourhoods programmes to create safer, healthier and more accessible

neighbourhoods for people, reducing danger from the road network for all users. Our Vision Zero Action Plan, aims to eliminate death and serious injury from London's roads and public transport systems by 2041."

Gareth Powell MD Surface Transport.



- Results in a fatality
- Person survives the collision

Safe streets

Our analysis shows that junctions are the riskiest and dangerous locations, where cyclists and motorcyclists are particularly vulnerable. This is a key focus for our action, alongside delivering continued improvements for cyclists.



A vehicle turning right across their path is the most common manoeuvre resulting in death and serious injury for people on bicycles and motorcycles

Our Vision Zero delivery plan focuses on:

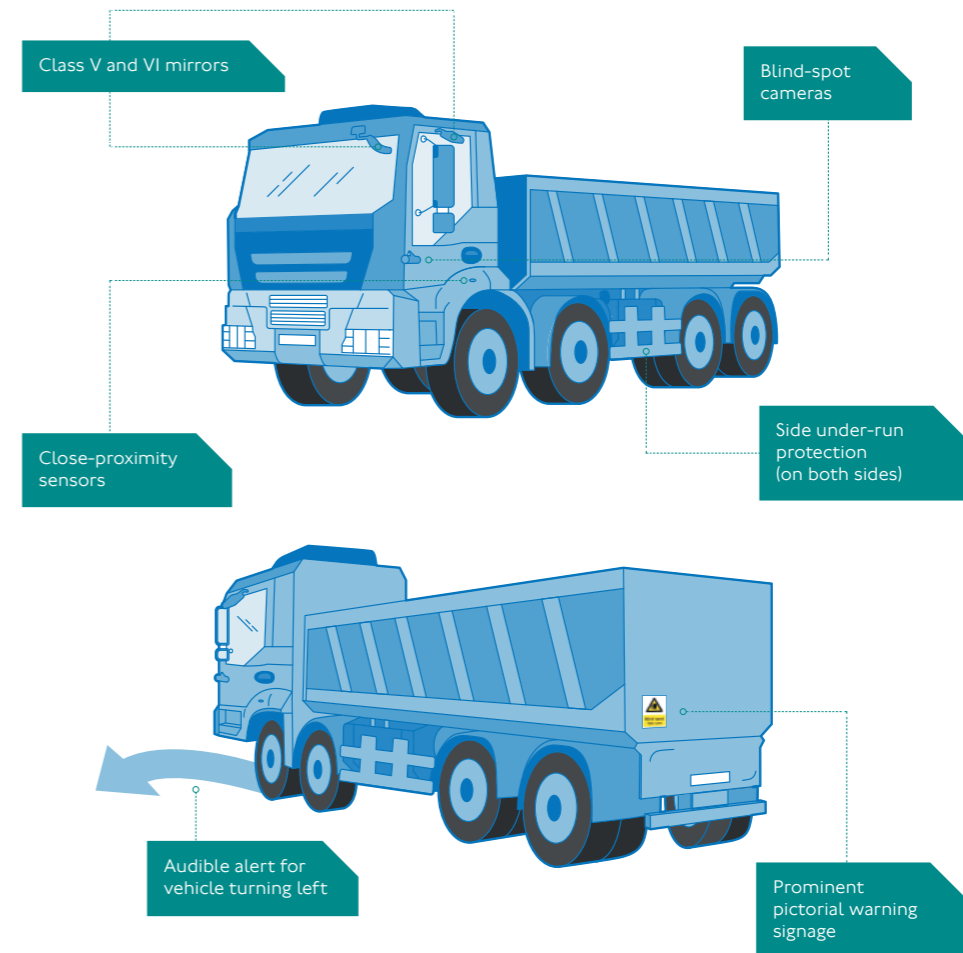
Safe speeds

Reducing speed is fundamental to reducing road danger, as the speed at which a vehicle travels increases the likelihood and severity of collisions. The first phase of our programme to lower speed limits aims to reduce the speed limits to 20mph on all TLRN roads within the Congestion Charging Zone by May 2020.

Safe vehicles

Relative to their share of traffic, larger vehicles, such as HGVs and buses, present the greatest risk to people walking, cycling and riding motorcycles. We are taking action to reduce the danger posed by larger vehicles through improving vehicle and

operating standards. The first phase of the Bus Safety Standard is nearing completion following the conclusion of tests on collision counter-measures. The research findings from these trials will feed into a cost-benefit analysis to ensure we prioritise the measures most effective at eliminating or mitigating casualties.



The road danger reduction targets to drive action towards Vision Zero are:

By 2022

65%▼

fewer people killed or seriously injured against 2005-09 levels

70%▼

fewer people killed or seriously injured in, or by, London buses against 2005-09 levels

By 2030

70%▼

fewer people killed or seriously injured against 2010-14 levels

0

people killed in, or by, London buses

Safe behaviours

The statistics on the right indicate the significance that user behaviour plays in reducing road danger. We will use marketing and communications to tackle the behaviours that create most risk on our streets, such as inappropriate speed, which is a factor in up to 37 per cent of collisions resulting in death or serious injury. Supporting the Vision Zero safe behaviours pillar, the new, hard-hitting 'Risk Up' campaign reminds drivers and motorcyclists of the dangers they pose when travelling at an inappropriate speed, and urges them to slow down.

We will monitor the impact of these to understand how they are making a difference to reducing road danger and making our streets feel safe. This will be vital to refine and enhance our future plans to continue to deliver our Vision Zero ambition.

Plans for next quarter

During quarter 3 we will:

- Hold a summit event in November to inspire senior leaders across London to take ownership and accountability for Vision Zero within their organisations.
- Support all boroughs in developing the Vision Zero elements of their Local Implementation Plan submissions.
- Roll out the "Go, Look, See" process for fatal or serious traffic collisions.

Up to

37%

of collisions in 2014-16 resulting in death or serious injury in London have speed as a contributory factor

58%

of collisions in London result from failure to look properly

335%

rise in arrests by MPS between 2014 and 2016 following new 2015 drug-driving laws made it easier to detect people driving under the influence of drugs

12%

of Londoners say they always, regularly or sometimes use a mobile phone while driving, riding or cycling

Improving cycling

We continued to make good progress with delivering new Cycle Superhighways during quarter 2 with the completion of a major new extension to Cycle Superhighway 6. The 2.5km extension between Farringdon and King's Cross means the route now connects Elephant and Castle to King's Cross. Overall eight junctions have been made safer, including improvements at the West Smithfield/Snow Hill/Farringdon Street junction, formerly one of the most dangerous in the capital.

Following public consultation we completed concept design for Cycle Superhighway 4 (Tower Bridge to Greenwich). Detailed design will start in quarter 3.

We opened our second full Quietway route at the end of August. Quietway 2, connects Bloomsbury and Walthamstow via Angel, Haggerston, London Fields and Clapton. The route also connects with Cycle Superhighway 1 and 6. Improvements for cyclists and pedestrians along the route include safer crossings and a reduction in large vehicles through Dalston.

Improving town centres

Works at Bruce Grove town centre (in conjunction with the redevelopment of the Tottenham Hotspur football stadium) are progressing well. The scheme delivers improvements to the local environment for pedestrians, cyclists and bus passengers, with expected completion in late September.



In August, we funded Borough works to improve Mitcham town centre by delivering stepped cycle tracks and improved pedestrian crossings. Feasibility design is now underway for improvements to Peckham town centre that will deliver measures to improve safety for pedestrians.

We are also funding ongoing works to remove traffic dominated gyratories, and to improve walking and cycling at Stratford in Newham, Baker Street/Gloucester Place in Westminster and Tottenham Court Road/Gower Street in Camden.

Fleet Operator Recognition Scheme

The safety of the Heavy Goods Vehicles and other freight using London's roads continues to be a key area of focus under Vision Zero.

The Fleet Operator Recognition Scheme (FORS) Concessionaire contract with AECOM ends in January 2020. On 7 September we held the first of a series of industry events to gain opinions on the FORS Procurement Strategy.

The FORS Standard is reviewed and updated on a two-yearly cycle in order to keep fully abreast of transport legislation and emerging best practice, and to reflect the development and evolution of the scheme itself. The revised standard (version 5) will be released at the FORS Members' Conference on 16 October.

Intelligence-led enforcement

We have launched a new intelligence-led enforcement deployment system, allowing us to deploy our traffic enforcement resources more effectively. This has helped to prioritise sites by compliance levels, and highlight areas of non-compliance.

On 20 July, the Taxi & Private Hire Compliance team worked in partnership with MPS officers on a static roadside stop site in Waterloo Place, Westminster. There were a total of 54 compliant and 23 non-compliant checks.

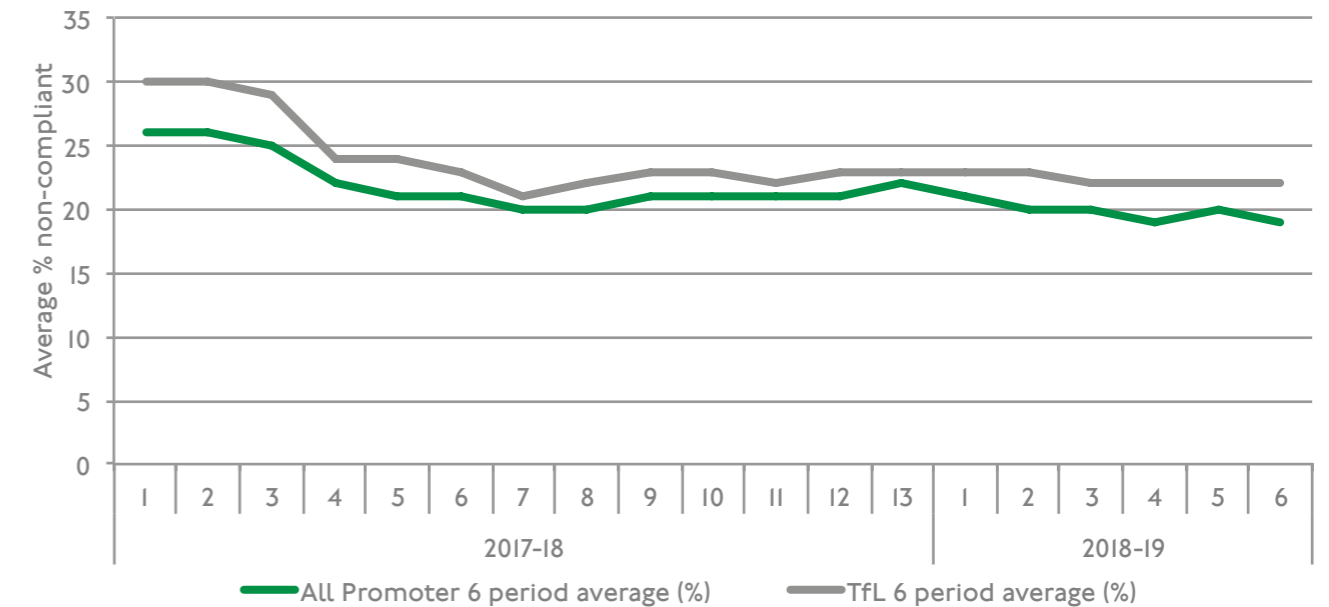
Safer Junctions

The Safer Junctions list published in April 2017 identified 73 junctions on the Transport for London Road Network with the highest vulnerable road user collision rates between 2013 and 2015. We have now completed work at 24 of these junctions and all have had measures put in place to reduce road danger. We are currently taking a further 41 through design and construction and carrying out safety studies at the remaining eight junctions. This includes improvement works at Highbury Corner and Charlie Brown's roundabout, which continued in quarter 2.

Our Safer Junctions programme includes plans to make Old Street roundabout safer by removing the gyratory, closing one arm of the roundabout and creating a new public space and building segregated cycle lanes. Work was scheduled to start early next year but, following the tragic collision on the roundabout between a cyclist and a lorry on 25 July, we have brought this work forward. Enabling works will now start in November and the main works will begin in March 2019.



Safety at roadworks (Inspection failure rate)



The inspection failure rate monitors the number of signing, lighting and guarding inadequacies at roadworks sites, observed during safety inspections (undertaken in line with the New Roads and Street Works Act Code of Practice for Inspections). The measure includes both TfL and pan-promoter data.

Payments received from works promoters under the Lane Rental Scheme are funding initiatives that will benefit vulnerable road users, including the trial of a new accessible and shallow gradient kerb ramp for

wheelchair and buggy users and a new wide-cycle-bridge to span open excavations in cycle lanes to maintain facilities in peak hours.

As part of an innovation challenge we are approaching innovation and start-up companies to develop products that enable us to provide better and more obvious segregation for vulnerable road users navigating around roadworks. Work continued during the quarter on a new Temporary Traffic Management Handbook, promoting good practice, which is due for publication in early 2019.

Plans for next quarter

During quarter 3 we will:

- Commence enabling works at Old Street Gyratory as part of the Safer Junctions programme
- Open Quietway 6, (Wanstead Flats to Barkingside), Q22 (Newham Greenway) and Quietway I4 (Blackfriars to Tower Bridge Road)
- Commence detailed design on Cycle Superhighway 4
- Complete works at Bruce Grove
- Commence public consultation on proposals for Tooting town centre, including improvements to pedestrian and cycling facilities, and a reduction in vehicle speed limits
- Release version 5.0 of the FORS Standard at the FORS Members' Conference on 16 October 2018.



Customer Safety: Buses

Overview

Q2 Performance	Q2 Improvement activities
<ul style="list-style-type: none"> ✓ 2.47 injuries per million passenger journeys: Three per cent better than the same quarter last year ✗ 4 fatalities (2 pedestrians, a cyclist and a bus passenger) ✗ Pedestrians continue to make up the largest proportion of VRUs killed or seriously injured by a bus, (86 per cent during quarter 2) ✓ Reductions in injuries arising from collisions and slips, trips and falls have driven improvement (37 per cent and four per cent reduction respectively) ✓ Focus on the quality of driving 	<ul style="list-style-type: none"> ✓ Speed limiting technology added to a third route ✓ Bus driver fatigue survey launched. ✓ Bus Safety Innovation Fund: results of trials presented to TfL ✓ Bus safety campaign at Elephant and Castle ✓ Bus driver safety training procured

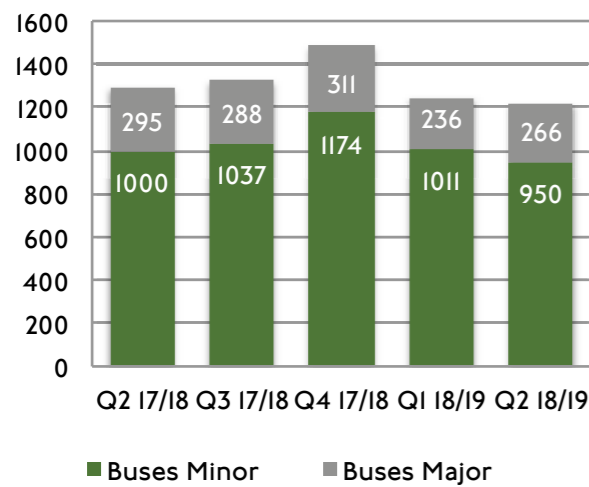
Overview: customer injuries in Q2

Accidental Fatalities	Major Injuries*	All Injuries	Near Misses**
4	266	1216	5449

* Injuries requiring hospital attendance
 ** All incidents where no injury or damage arose

There were 1,216 injuries in quarter 2, equating to 2.47 injuries per million bus passenger journeys. Twenty-two per cent of injuries required hospital treatment, 14 per cent were treated at the scene and the remaining 64 per cent required no treatment. In the quarter, four fatalities were connected with TfL's bus operations. They involved two pedestrians and a cyclist killed in collisions with our buses and a passenger who later died from injuries sustained following a fall on a bus.

Customer injuries five rolling quarters



Bus customer injuries in quarter 2 have reduced by six per cent compared with the same quarter last year. The majority of the improvement is attributed to fewer injuries as a result of slips, trips and falls (down four per cent from 702 to 674) and collisions (down 37 per cent, from 104 to 65).

This reduction in injuries follows significant efforts from the bus operators to deliver safety improvement initiatives around driver quality and passenger comfort. Many operators have scaled-up their use of the data available from on-board systems, to identify any poor driving practices, as well as driver refresher courses which include a focus on giving customers more time to get to their seat.

Quarter 2 saw a large-scale safety campaign at Elephant & Castle, a bus injury hot spot. The event, led by Go-Ahead, took place in September and was supported by all the major bus operators. On the day, there was only one minor incident and several lessons were learnt from the process; covering road layout, driver training changes, route risk assessment updates and recommendations

about line markings around the cycle superhighway. These collaborative efforts have seen a short term reduction in incidents at these hot spot locations, but also help to demonstrate to the driver community at large that both TfL and their local management teams care about their welfare and safety. All bus operators have agreed to support future quarterly safety campaign initiatives.

Top 4 causes of all bus customer injuries

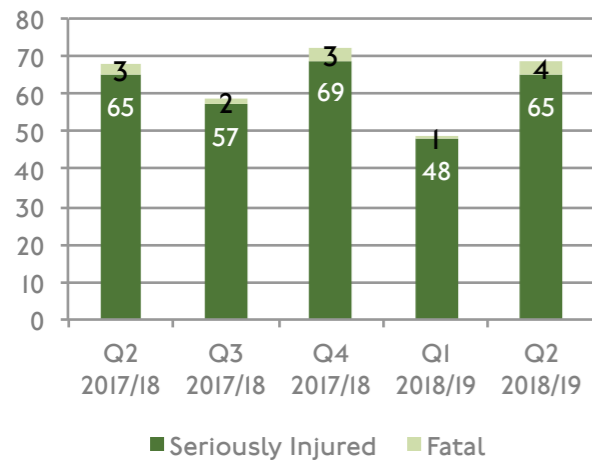
Slip Trip Fall	Struck by/ against object	Trapped fingers/ limbs	Collision
56%	23%	8%	5%

Slips, trips and falls remain the dominant cause of bus customer injuries in the quarter, accounting for 56 per cent of all injuries and 54 per cent of major injuries. There were 654 customer injuries as a result of slips trips or falls in quarter 2. This equates to 1.33 slip, trip and fall injuries per million journeys (an improvement on 1.54 compared with the same quarter last year). The majority of slips, trips and falls occur within bus aisles, with sudden bus movement being the key contributory factor to this type of fall.

Passengers striking against objects within buses (23 per cent) and entrapment of fingers and limbs (eight per cent) were other significant causes of injuries. Collisions accounted for five per cent of customer injuries during the quarter; with 176 injuries sustained from the 5,458 collisions involving buses. This equates to 2.5 collision-related injuries for every million miles operated this quarter.

Killed or seriously injured in or by London buses (STATS 19)

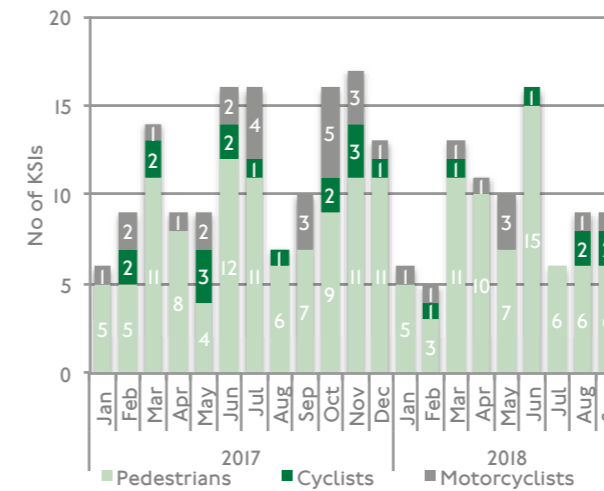
Past five quarters



The number of KSIs reported by, or to, the police in quarter 2 2018/19 rose by one per cent compared to the same quarter last year. In quarter 2, 29 (42 per cent) of the KSIs involved bus passengers and 37 (54 per cent) of those killed or seriously injured by a bus were Vulnerable Road Users (VRUs). Pedestrians continue to make up the largest proportion of VRUs killed or seriously injured by a bus, accounting for 86 per cent of all VRUs killed or seriously injured by a bus during quarter 2.



Vulnerable road user KSIs from collisions involving buses



Work continued during the quarter to evaluate a range of measures for inclusion in the Bus Safety Standard, ahead of its launch at the Bus Safety Summit in October. This will inform the bus vehicle specification and will be incorporated into bus operator contracts for new buses from the end of 2018. Some safety measures will be required on new buses from 2019.

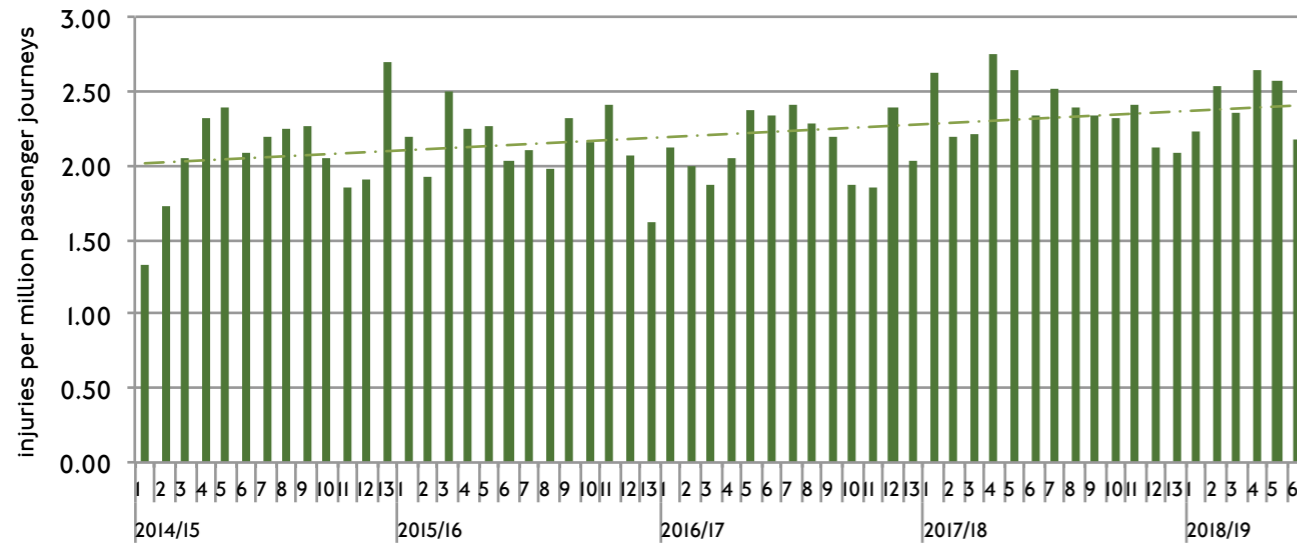
In 2019 all new buses entering the fleet will be mandated to have speed limiting technology (ISA). This will prevent buses from exceeding speed limits and in turn influence the speed of other vehicles. Following previous trials and its extension to route 114 during this quarter, ISA technology will be operating on around 700 vehicles by the end of 2018.

As part of our research into bus driver fatigue led by Loughborough University, focus groups and interviews have been carried out with drivers and a driver survey has been released. The research will continue into quarter 3 and beyond, as Loughborough University liaise with the operators for on-board monitoring and discussing future risk management techniques.

Operators who received funding through our Innovation Fund have presented their findings to us. Not all the trials are complete, but many are already showing positive results. Notably, the work involving cycling and walking training has been successfully completed with the operator looking to implement a wider application of the training course in 2019. The fatigue technology being trialled has seen a small reduction in road traffic collisions, but importantly has led to more welfare-based discussions between the management and drivers. In two cases this has led to a medical intervention, where the driver has been referred onto his GP and/or a sleep clinic for further health checks. The driver safety app at one operator has been downloaded by a large number of drivers and includes safety tips, first-use check information and improved driving techniques to assist their day-to-day activities. One operator has been testing an alarm in the cab which indicates to the driver regarding close following of other road users, over-speed, lane departure and pedestrian encroachment. Early results indicate a marked reduction in road collisions (40 per cent fewer).

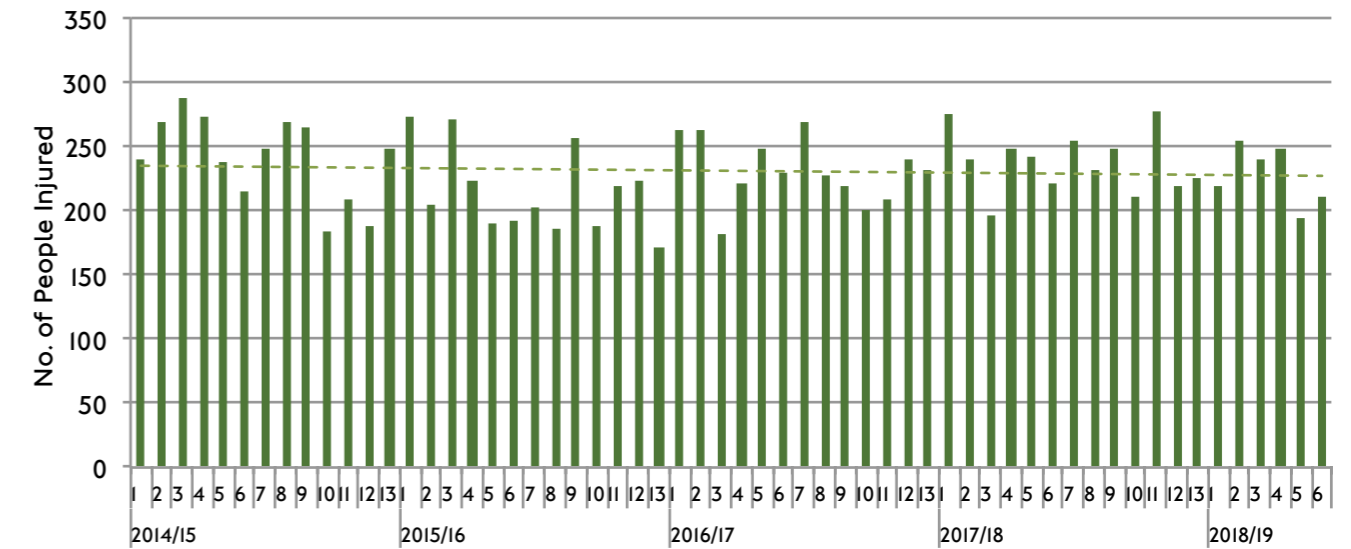
We have completed our procurement of a new bus driver safety training course to focus on their role in achieving Vision Zero through better awareness of more vulnerable passengers and road users. The contract will be awarded in quarter 3, followed by consultation with operators and wider stakeholders.

Bus customer injuries per million passenger journeys - long term trend 



Over a five year period bus customer injuries have shown a rising trend but this, alongside the decrease in incidents by 2 incidents per period since 2017/18, is not statistically significant. Our focus on the investigation and sharing of learning from significant incidents by our bus operators and enhanced monitoring of bus operator performance and safety management introduced in 2017 is helping drive improvement.

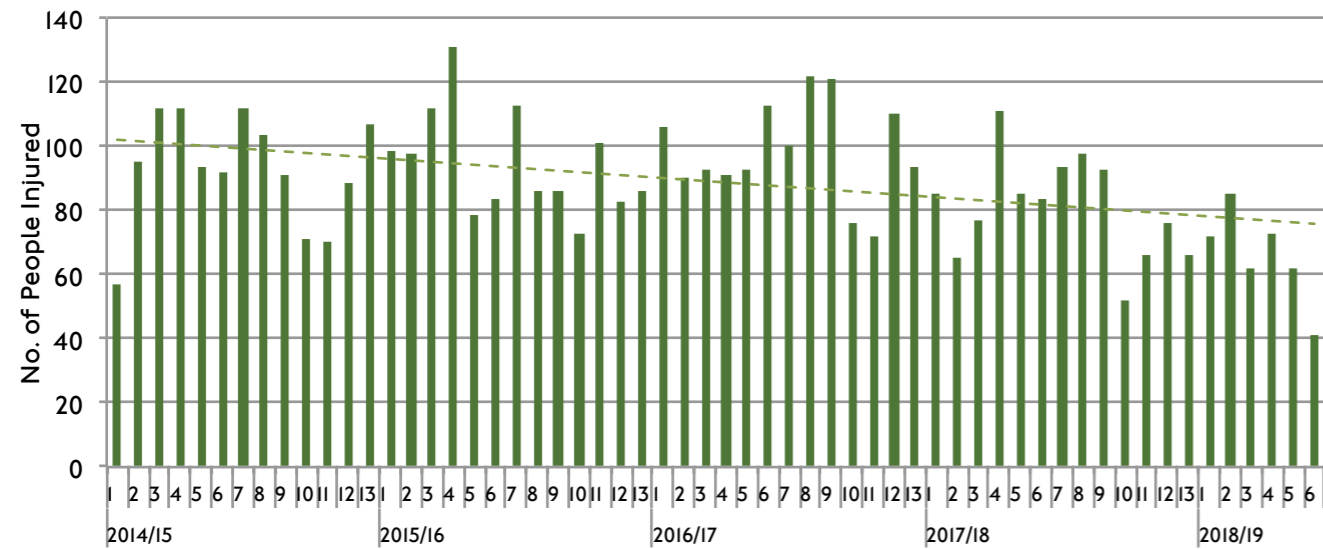
Customer safety - slips, trips and falls on buses 



Since the start of last year, there have been 1.18 fewer incidents per period of slips, trips and falls on buses. However, when normalised against passenger journeys, incidents are increasing, there were 1.35 injuries per million passenger journeys resulting from slips, trips and falls in the quarter, compared with a five year average of 1.31 injuries per million passenger journeys.

Over the last five years, most of the falls that resulted in injury occurred within the bus aisle (42 per cent), and although the longer term trend is worsening, this has slowed down since the start of last year. Injuries sustained while boarding or alighting buses account for 23 per cent and the trend for this cause continues to show improvement.

Customer safety - bus collisions

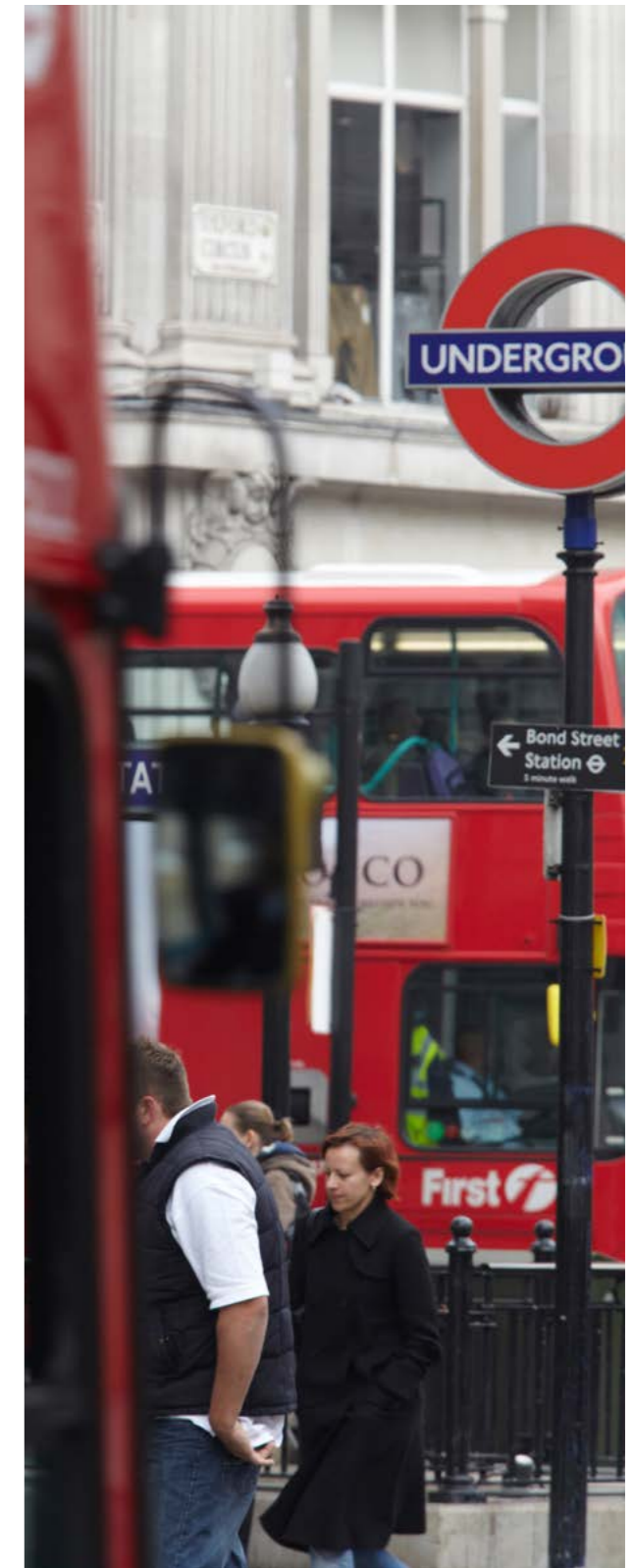


Injuries due to collisions involving buses have been steadily falling over the last five years. During this period there has been a focus on the quality of driving, including interventions to help drivers anticipate the actions of other road users and customer service training includes a focus on the safety of vulnerable customers.

Plans for next quarter

During quarter 3 we will:

- Launch the Bus Safety Standard and Roadmap at TfL's second Bus Safety Summit on 16 October, including a revised Bus Vehicle Specification
- Complete on road fatigue tests
- Receive an interim report from the bus driver fatigue research
- Have ISA operating on 700 buses and 50 routes
- Facilitate an operators' forum to enable participants in the Safety Innovation Fund projects to share their learnings
- Support the bus operator safety campaign day at Croydon in December 2018, led by Abellio
- Consult operators and stakeholders to inform the design of new driver training to embed Vision Zero.



Customer Safety: London Underground

Overview

Q2 Performance	Q2 Improvement activities
<ul style="list-style-type: none"> ✗ 3.07 injuries per million passenger journeys: Four per cent worse than the same quarter last year ✗ Seven per cent increase in injuries on escalators compared with the same quarter last year, accounting for almost half of all customer injuries ✗ Twenty-four per cent increase in injuries at the Platform Train Interface (PTI) compared with the same quarter last year, accounting for almost a quarter of all customer injuries ✓ Injuries at ticket gates down 32 per cent compared with the same quarter last year ✗ Slips trips and falls accounted for 80% of all injuries 	<ul style="list-style-type: none"> ✓ Escalator Excellence: roll out continued ✓ Stair Excellence: roll out commenced ✓ Platforms realigned at 4 stations to reduce the gap between the train and the platform ✓ Platform camera improvements commenced at two sites ✓ Platform Train Interface day: focus on train operator awareness of hot-spots.

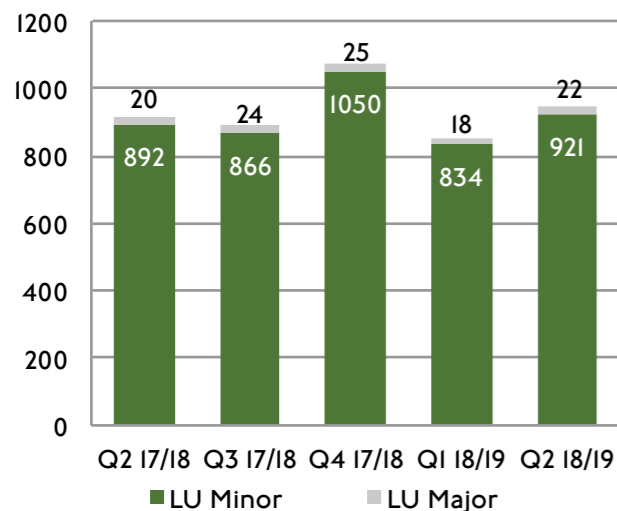
Overview: customer accidental injuries in Q2

Accidental Fatalities	Major Injuries	All Injuries	Near Misses
0	22	943	301

In quarter 2, there were 943 customer injuries, equating to 3.07 injuries per million passenger journeys, a higher injury rate than the same quarter last year (2.98). Twenty-two of these customer injuries (2.3 per cent) were major injuries.

There were 12 cases where a passenger was fatally injured following a collision with a train. The coroner's inquest has confirmed one of the cases as suicide and we await the outcome of the other 11 incidents.

Customer injuries five rolling quarters



LU customer injuries have increased by 3.4 per cent compared with the same quarter last year, with increases in both major and minor injuries. In quarter 2 most accidental customer injuries were on escalators (47 per cent), at the platform train interface (PTI) (23 per cent) and on stairs (15 per cent). Injuries at the PTI and on escalators rose 24 per cent and seven per cent respectively compared to the same quarter of last year. There has been a reduction in injuries at ticket gate lines (32 per cent improvement) and on trains (11 per cent improvement) this quarter, compared with the same quarter last year. Slips, trips and falls continue to account for the majority of injuries (80 per cent of all injuries).

Top three causes LU customer injuries

Slip Trip Fall	Hit by doors, gates or other objects	Other
80%	17%	3%

In quarter 2 we continued the roll out of the Escalator Excellence programme to the stations with the highest number of incidents and started monitoring the stations to ensure excellence in the management of this risk is maintained. Delays in obtaining the required signage have meant that full roll-out has not been completed as planned and works will continue in quarter 3. During quarter 2 we complemented this programme with the launch of our Stair Excellence programme, which is initially focused on the 18 stations (2 per line) with the highest number of stair-related injuries.

The programme includes:

- an asset condition and customer behaviour survey to identify improvements to reduce injuries.
- targeted public announcements and poster campaigns
- staff engagement with customers
- a focus on wet weather arrangements.

The PTI monthly focus days have continued with managers engaging with station staff and train operators on different PTI issues. Themes have included a focus on train operator awareness of their PTI hotspots and the importance of reporting faults associated with assets we use to manage safety of the PTI.

In September, PTI observations were completed at the ten stations with the highest number of PTI-related incidents, to

check that the correct mitigation measures and customer communications are in place. The results have been fed into the PTI safety plan to continue to reduce customer injuries across the network.

We have continued to make changes to our assets at the PTI to reduce injuries when customers are boarding and alighting. We have now completed the refurbishment of 27 Jubilee line trains, which includes putting a yellow plate in the foot-well to draw more attention to the gap between the train and the platform. We have realigned the edge of a further four platforms (Sloane Square, South Kensington and Whitechapel and Cannon Street), to reduce the gap between the train and the platform following the introduction of new trains on the Metropolitan, Hammersmith and City, District, and Circle lines. Works are underway on a further two platforms, which will be completed in quarter 3.

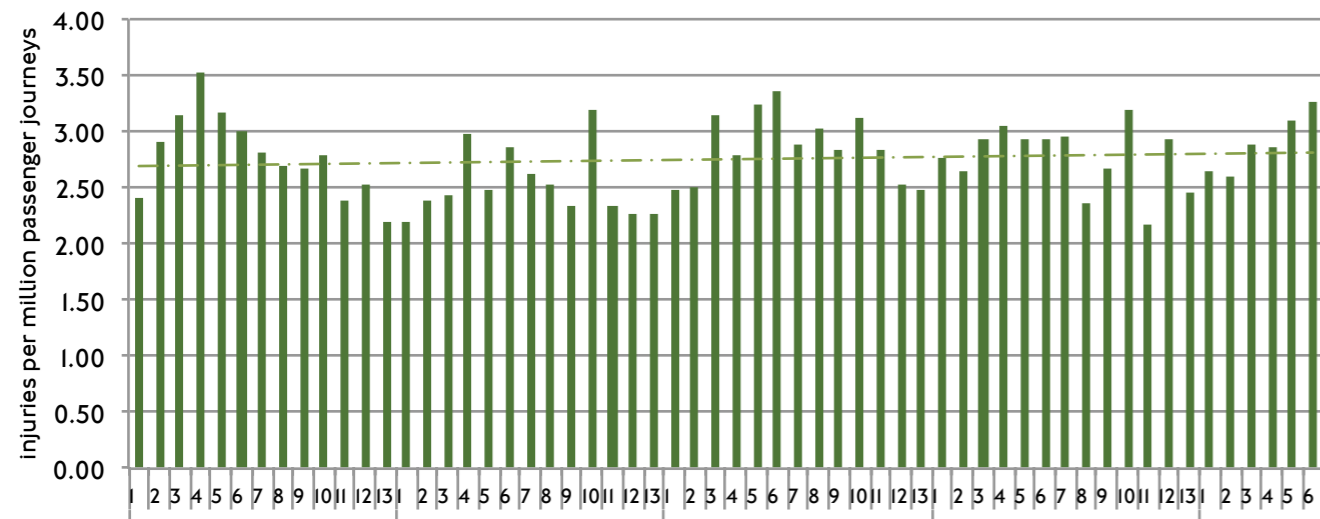
"Making sure our customers and our workforce go home safely each day is extremely important to me. It's the first thing we talk about on our morning call and at our weekly performance meeting. This focus has helped us reduce the number accidents at the Platform Train Interface during the second quarter of this year. We asked our train operators and stations staff for their ideas for improving safety and implementing those ideas has made our customers journeys safer. Our challenge now is to ensure this improvement is sustained and delivered through local ownership and accountability."

Nigel Holness
Managing Director London Underground

As part of our Platform Camera Improvement project, which improves the train operators' view of the platform, we completed concept design for the new camera layout for one station, completed detail design for ten stations and started delivering improvements on site at two stations.

Safety Culture plans are being rolled out across LU and are supported by local plans in each area. To support a positive safety culture, our Customer Risk Assessment process has been streamlined with greater emphasis on implementing improved risk controls which can be used to inform the monitoring regimes for our most important controls.

LU customer injuries per million passenger journeys - Long term trend 

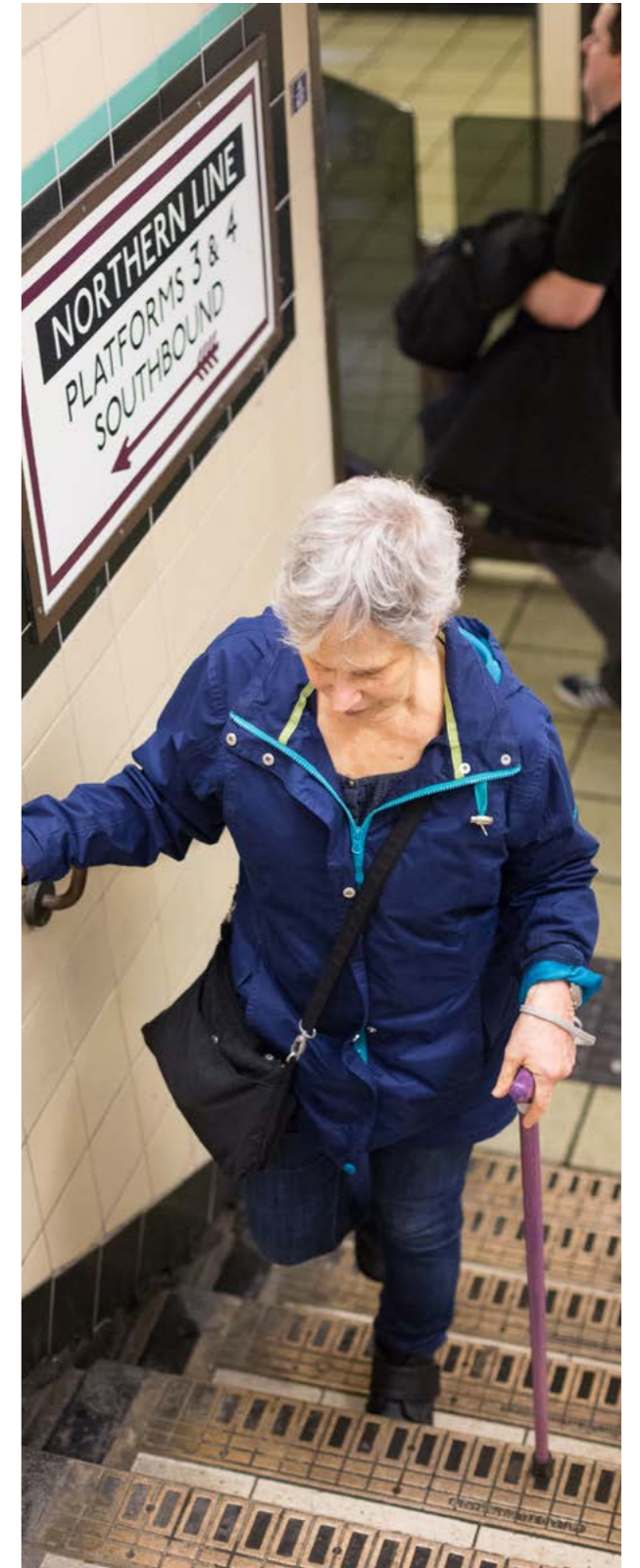


Over the longer term, LU customer injuries have risen at a rate of 0.78 injuries per period. The majority of injuries have been sustained on escalators (40 per cent), stairs (19 per cent) and at the PTI (17 per cent). On our escalators, injuries have risen every period within this quarter, which is a statistically significant trend across the rolling five years. Injuries sustained on stairs across our stations have reduced significantly this financial year compared with the same period last year (12 per cent).

Plans for next quarter

During quarter 3 we will:

- Install new "hold the handrail" escalator signage for stations outside of the top 20 for escalator incidents
- Check escalator excellence standards are being maintained at the stations with the highest number of incidents
- Roll out Stair Excellence in full across the top 18 stations
- Update all line-based PTI plans to ensure alignment to the overarching plan
- Roll out a PTI video featuring a train operator sharing their experience of a serious PTI incident
- Roll out specific safety communications over the festive holiday period
- Realign the edge of platform at Victoria and East Putney to reduce the gap between the train and the platform
- Continue delivery of our Platform Camera Improvement project.



Customer Safety: Rail

Overview

Performance	Improvement activities
<ul style="list-style-type: none"> ✗ I.I injuries per million passenger journeys: 12 per cent worse than the same quarter last year ✓ No major injuries ✗ TfL Rail injury rate per million passenger journey's significantly higher than other rail networks, but has shown significant improvement compared with same quarter last year ✗ Increase in PTI incidents, particularly on DLR ✗ Slips, trips and falls continue to be an issue across Rail 	<ul style="list-style-type: none"> ✓ Installation of Mind the Gap signage underway at 14 DLR platforms ✓ Fatigue assessment of rosters introduced on DLR ✓ Sandilands recommendation: Responses received to the Invitation to Tender for an automatic braking system for trams ✓ Sandilands recommendation: Strengthening film selected as the immediate solution to strengthen glazing on trams.

Overview: customer accidental injuries in Q1

Accidental Fatalities	Major Injuries	All Injuries	Near Misses*
0	0	99	8

*This data will be collated across our rail division and included in future reports

A total of 99 customers were injured. None of the injuries were classified as major. This equates to I.I customer injuries per million passenger journeys, up from 0.98 at the same time last year. The injuries occurred within TfL Rail (26), Docklands Light Railway (DLR) (27), London Overground (LO) (40) and Trams (6).

The number of customer injuries increased by 11 per cent compared to quarter 2 last year. A significant proportion of the increase occurred within DLR, where the number of injuries increased from 10 to 27 compared with quarter 2 last year. In DLR, this is equivalent to 0.66 injuries per million passenger journeys; broadly consistent with the same quarter last year. Twelve (44 per cent) of the customer injuries resulted from falls, with five occurring on escalators. Customer intoxication was a factor in four instances. As a consequence of this and

an anticipated seasonal increase expected next quarter, plans are being put in place for a specific communications campaign featuring posters and announcements targeting slips, trips and falls during the autumn and winter months.

LO reported 1.05 injuries per million passenger journeys in the quarter, compared with 1.02 injuries per million passenger journeys in the same period of last year. Slips, trips, and falls were the predominant cause of customer injuries (78 per cent).

On the TfL Rail network, 26 customers were injured, a reduction of 32 per cent compared with last year. Customer injuries is equivalent to 2.14 injuries per million passenger journeys; an improvement on the same quarter of last year (2.6). Slips, trips and falls, were the predominant cause of injuries.

The trams network reported six customer injuries, up from five for the same period of last year. This is equivalent to 0.89 injuries per million passenger journeys, up from 0.79 in the same quarter last year. There is no discernible trend since the start of last year influencing the level of injuries on the tram network.





Our rail operators continue their focus on management of the PTI, in line with the approach taken to the management of the PTI across our other rail operations. A number of DLR stations, with larger stepping distances between the platform and train, we have continued to target with platform edge signage and PA announcements. Work to fit "mind the gap" signage at 14 platforms is progressing well.

DLR is assessing the impact of a three second door chime to warn of doors closing and the impact of different door warble durations. On the weekend of 21/22 July DLR trailed a three second door chime. The trial involved platform observations of passenger behaviour, a customer questionnaire and feedback from the on train staff (PSAs). As this is part of our assessment of compliance with the Rail Vehicle Accessibility Regulations (RVAR), the results of the trial will be discussed with the Department for Transport during quarter 3.

Work is ongoing between LO and our operator Arriva Rail London (ARL) to develop and implement a PTI risk reduction strategy. This project has involved working with the RSSB's PTI Strategy Working Group to develop the strategy in alignment with Industry Guidance. An improved PTI tool was launched by the RSSB in August. It will be trialled by DLR during quarter 3 and plans are already in place for its adoption by LO.

Work has continued with our tram operator to strengthen the way in which safety issues are managed, including reporting, recording and prioritisation to allow early warnings

of emerging trends. Work is also ongoing to further develop the Safety Risk Model for our tram network, with the current emphasis being on the identification and management of risk mitigation measures.

We are making good progress with the procurement of a new safety system on the London Trams network, which automatically applies the brakes should the speed limit be exceeded at high-risk locations. We are aiming to award the contract by the end of the year.

We have also assessed the options available to strengthen the type of glazing fitted on the tram fleet. The application of strengthening film to the existing tempered windows is being progressed as immediate solution.

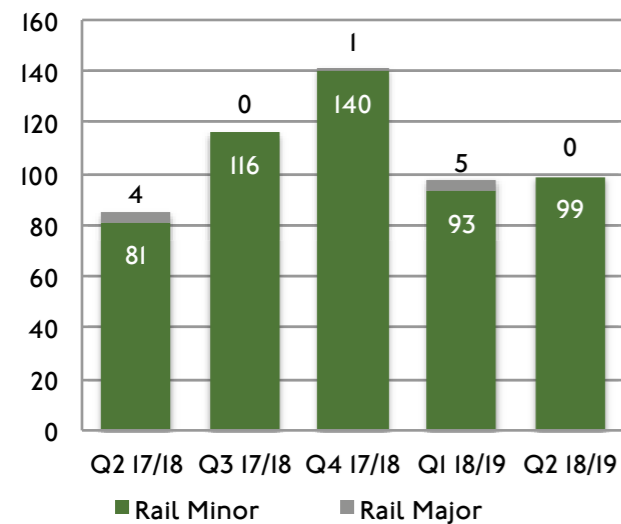
We are working closely with other UK tram operators and infrastructure managers to establish the structure, governance and function of a Light Rail Safety & Standards Board, which the Rail Accident Investigation Branch (RAIB) recommended should be formed in response to the tram overturning at Sandilands. An update on the actions being taken in response to the RAIB can be found in Appendix I.

Our focus on improving safety at tram crossings continues. The Crossings Review Panel met for the first time in September, to agree the actions in response to our Road Safety Auditor's risk assessment of town centre crossings.

Rail customer injuries five rolling quarters

Customer injuries

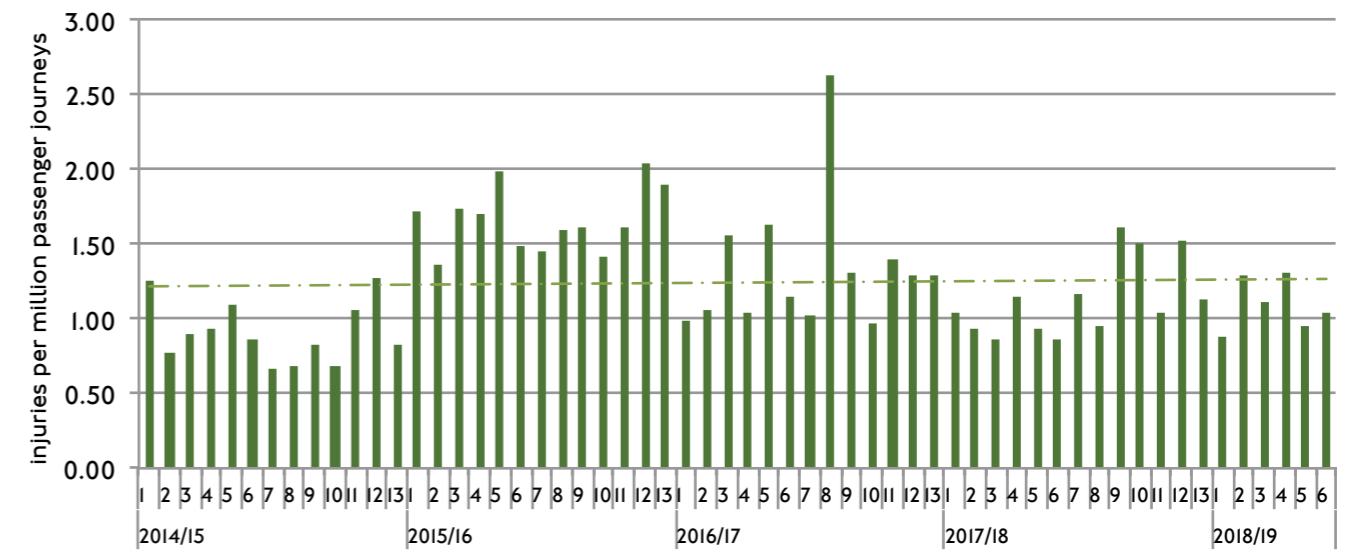
Past five quarters



Fatigue management arrangements on the DLR have been reviewed against ORR's good practice guide. Procedures have been updated to require a fatigue review to be undertaken for all rosters. The trial of "readibands", a device worn on the wrist to monitor fatigue has also been concluded. The results will be available during quarter 3.

ARL took part in RSSB's Fatigue Management Survey and the data is now being analysed by RSSB. ARL will attend a workshop, along with other representatives from Train Operating Companies that took part, to discuss the survey results and to formulate action plans. Further actions have also been incorporated into the refresh of ARL's Health, Safety and Wellbeing Strategy which will include briefings to staff on wellbeing, fatigue and lifestyle.

Rail customer injuries - long term trend



Overall, the injury trend for our rail customers continues to show an improving trend, indicating the number injuries are reducing over the long-term. However, when normalised by passenger journeys completed across our rail division, the trend is steady. On the LO and tram networks, the longer term trends show reductions in the number of injuries and also when normalised. In respect of DLR, the longer term trend is steady, but shows a reduction in injuries when normalised by passenger journeys. Within TfL Rail, the number of injuries shows an increasing trend, but when normalised, there is a steady reduction in injuries to customers using this network.

Plans for next quarter

During quarter 3 we will:

- Formally launch the Trams HSE Improvement Programme
- Report the results of the DLR “readiband” trial
- Commence the trial of the RSSB’s new PTI tool to evaluate its value for DLR
- Launch a slips and trips poster and public announcement campaign across the DLR network to coincide with the anticipated increase in hazards during the autumn and winter
- Prioritise tram crossings for assessment
- Continue to work with the manufacturers of our trams to implement in-cab warnings to alert drivers to higher risk locations.



Customer safety: Other operations



Overview

Performance	Improvement activities
<ul style="list-style-type: none"> ✓ 4.9 injuries per million passenger journeys: Eight per cent worse than the same quarter last year ✗ Dial-a-Ride accounts for the largest proportion of "other services" injuries ✗ All "other services" major injuries arose from 2 causes; collisions and slips, trips and falls 	<ul style="list-style-type: none"> ✓ Work on the first Safety Improvement Plan for the Thames commenced ✓ Contract for new Dial-a-Ride vehicles introduced new safety features

Overview: customer accidental injuries in Q2

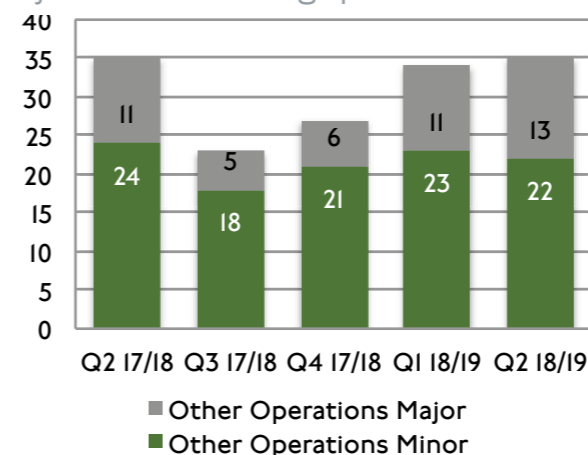
Accidental Fatalities	Major Injuries*	All Injuries	Near Misses**
0	13	35	123

*Injuries requiring hospital attendance
** All incidents where no injury or damage arose

Thirty five customers were injured across our other operations, this equates to 4.9 customer injuries per million passenger journeys. This is better than the same quarter last year when it was 5.1 injuries per million passenger journeys.

Thirteen of the injuries were classified as major within Santander Bikes (8), Dial-a-Ride (DaR) (4), Victoria Coach Station (VCS) (1). Collisions with cars and fall from bikes were the two causes of the major injuries within Santander Bikes; this is the consistent theme for this group of customers. In the quarter, a significant proportion of injuries occurred within DaR (43 per cent) of all the operations injuries, unchanged compared with quarter 2 last year. Santander Bikes accounted for 37 per cent, both VCS and Emirates Air Line (EAL) accounted for 14 per cent each. The remainder of the injuries occurred within London River Services (LRS) (3 per cent).

Other operational services customer injuries five rolling quarters



The number of customer injuries remains unchanged when compared with quarter 2 last year.

Top 4 causes of injuries

Slip Trip Fall	Collision	Cut/abrasion	Trapped fingers/limbs
52%	11%	11%	9%

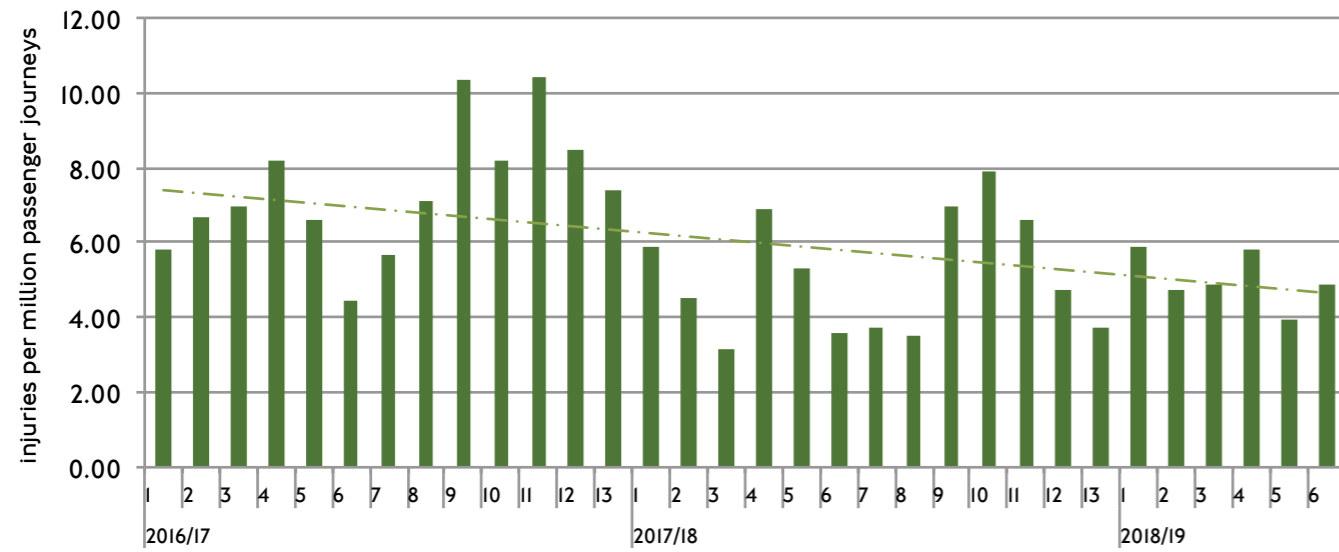
In response to the incident of a passenger's leg being caught between the pier and a boat in quarter 1, the boat operator, City Cruises are reviewing how they board and alight passengers. They are looking at installing gangways at some piers in line with the practice already applied by Thames Clippers.

Slips, trips and falls and collisions were the causes of all major injuries in the quarter; Santander Bike customers accounted for four collisions and four slips, trips and falls, and DaR customers were injured as a result of one collision and four slips, trips and falls.

In July, we awarded the contract for the new DaR vehicles. The safety features of the new vehicles will include low-floors, a reduced incline on ramps, as well as seats and aisles widths that ease movement. These measures are expected to help reduce slips, trips and falls and injuries arising from manual handling.

During the quarter TfL led work to develop the first Safety Improvement Plan for the Thames. The plan will be integral to the delivery of the London Passenger Pier Strategy. A Thames Partnership Group has been set up to deliver the plan, bringing together TfL, the Port of London Authority, Marine Coastguard Agency and the Metropolitan Police Service.

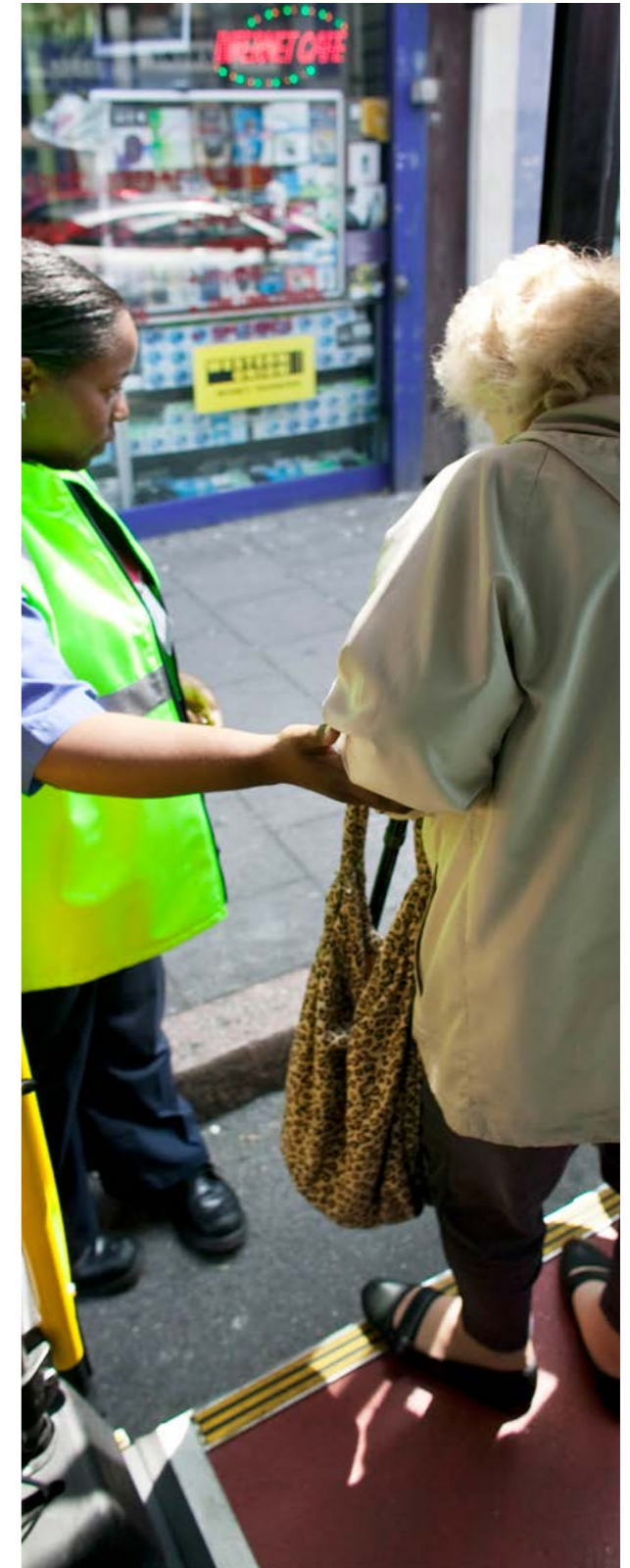
Other operational services customer injuries - long term trend



Overall, the trend for our other operational areas continues to show an improving trend indicating injuries are declining over the long-term. This is also the case when normalised by journeys completed across our other operational services. However, within DaR, we observe a worsening trend, with the numbers of injuries to DaR customers when boarding and alighting worsening (36 per cent of cases). These incidents, combined with other types of fall events, are the main reason for the overall rising trend for DaR customers.

Plans for next quarter

- Formally launch the Safety Improvement Plan for the Thames.

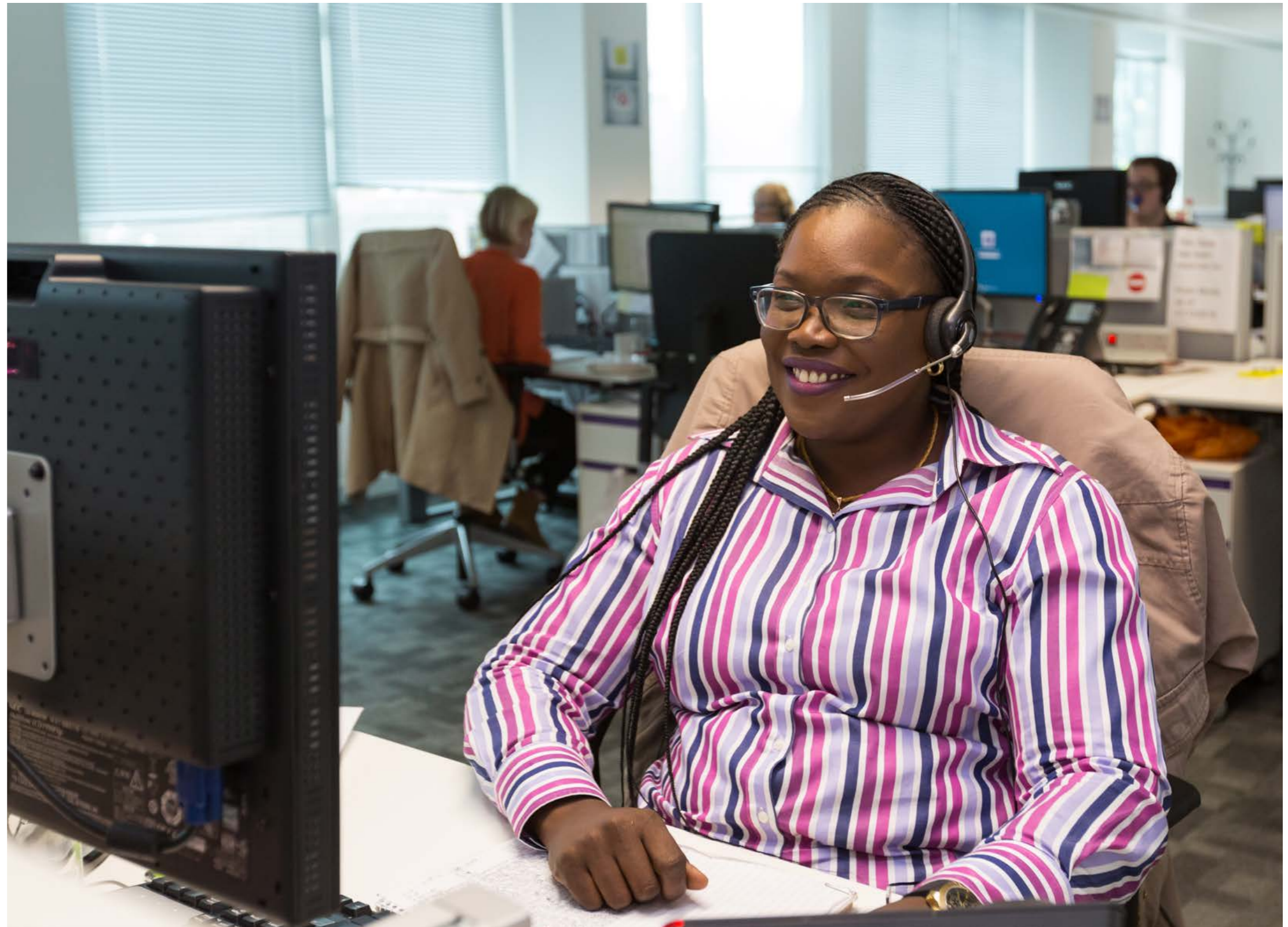


Safety – feedback from customers

The slight increase in safety complaints reported this quarter is in line with an increase in complaint volumes as a whole. The main area of increase was Buses, with injuries to person and vehicle damage both up on the same quarter last year.

We have updated our website and introduced a specific category for safety incidents and concerns that customers can use when contacting us. As well as encouraging reports about safety, the new category will help ensure that they are prioritised for review.

	Q2 2017/18	Q2 2018/19	Trend
London Underground	325	312	↕
London Buses	979	1,115	↗
DLR	20	16	↕
London Overground	55	38	↕
TfL Rail	19	25	↗
London Trams	8	7	↕
Emirates Air Line	0	0	↔
Congestion Charge	0	0	↔
Dial-a-Ride	12	3	↕
London River Services	0	1	↗
Santander Cycles	1	0	↕
Taxis	n/a	3	
Private Hire	n/a	1	
Total	1,419	1,521	



Workforce injuries

Overview

Q2 Performance	Q2 Improvement activities
<ul style="list-style-type: none"> ✓ Workforce injuries 11 per cent better than same quarter last year ✓ Injury reductions driven by improvements in buses and construction ✗ Workforce injuries in LU have increased; in particular injuries to those undertaking fleet and other maintenance activities ✓ Accident Frequency Rate improving for LU construction teams and there have been no reportable injuries associated with our highway projects this quarter ✓ Violence against our total workforce 13 per cent better than same quarter last year, but worse for our direct employees. ✗ Sickness absence due to mental health issues is 9.3 per cent worse than the same quarter last year, continuing the rising trend 	<ul style="list-style-type: none"> ✓ Workforce safety video targeting slips, trips and falls rolled out in LU ✓ New 5 year HSE strategy launched for major projects ✓ New incident and near miss reporting application for our construction workforce ✓ Supplier Assessment Tool (SAT) revised for use across TfL construction projects ✓ Revised spit kit provision is improving availability of evidence in assault cases ✓ Preparation for World Mental Health Day

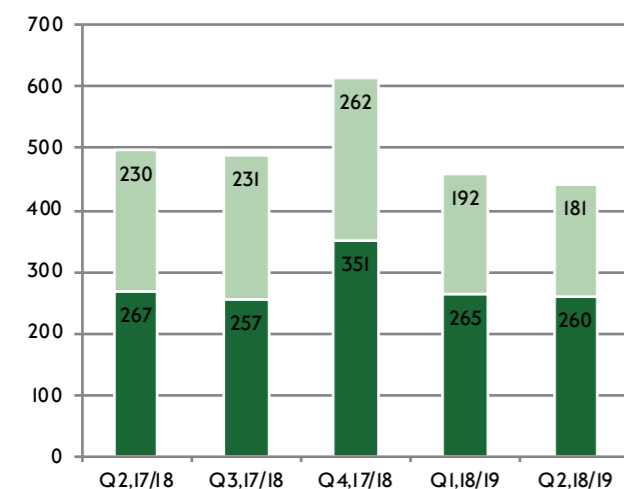
Overview: workforce accidental injuries in Q2

Fatalities	RIDDORs*	All Injuries
0	49	441

*Reporting arrangements for our bus suppliers being developed

There were 11 per cent fewer workforce injuries compared with the same quarter last year; with reductions in the number of injuries to both our direct employees and our suppliers' staff. Of the 441 workforce injuries during the quarter, 49 were reported to regulatory authorities (information on pages 20 to 21) and a further 12 were classified as major in connection with bus driving as they required hospital attendance.

Workforce injuries five rolling quarters



Our direct employees accounted for 59 per cent of workforce injuries, with 86 per cent of these incidents occurring within LU, which accounts for 71 per cent of direct employees in TfL, many of whom are undertake maintenance and construction related activities. Injuries to our supplier staff accounted for 41 per cent of our workforce injuries. Bus drivers were the group most affected, accounting for 43 per cent of supplier staff injuries. This is followed by our major project teams where 36 injuries (20 per cent) were reported. Within our Rail modes, we recorded 34 injuries (18.7 per cent). LU reported 17 injuries (9.4 per cent) and in other operational services we recorded 13 injuries (7.2 per cent). The remainder were reported in other support areas (1.2 per cent).

Top 4 causes of injuries (all areas)

Machinery/ Equipment/ Powered Tools	Slip, Trip, Fall	Manual Handling	Struck by/ against an object
24%	15%	10%	3%

In LU the highest number of workplace accidents are due to slips, trips and falls, contact injuries and manual handling. There has been an increase in injuries within those undertaking maintenance of fleets and other assets. In response, plans are being rolled out including a video focusing on prevention of slips, trips and falls and a review of local safety plans. The Go, Look, See process continues to ensure senior managers and those who are injured meet in the workplace, to explore how the injury occurred and identify any steps that need to be taken in response.

Within our LO operation, a new inspection and management tour programme has been launched to refocus these activities across the executive, maintenance, operational and project delivery teams to increase engagement in safety, improve the safety culture and identify trends and improvement opportunities.

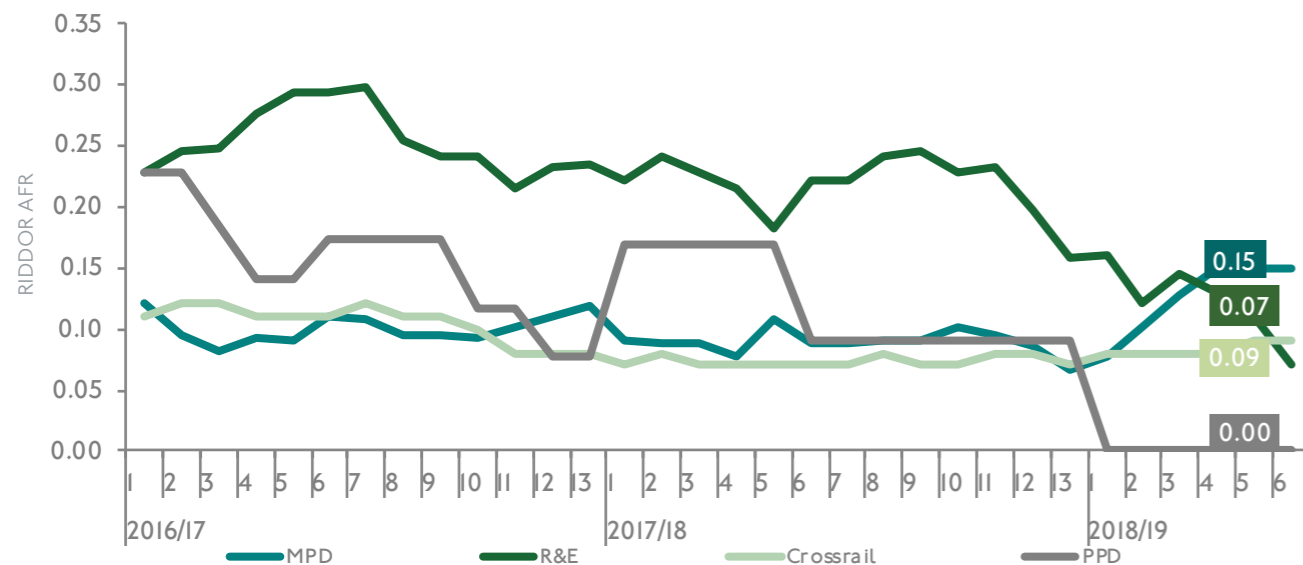
A Fatigue Management Improvement Plan has been agreed for tram maintenance staff. A working group has been established and its first task is a gap analysis between current processes and practice and the good practice defined by the ORR.

Workforce injuries have been discussed with bus operators during all HSE Maturity Assessment visits, as part of our ongoing programme to understand the operators' commitment and action plan to reduce workplace injuries. Since the Mayoral announcement in February this year, good progress has been made on the provision of toilets for bus drivers, in order that all bus routes have access to toilet facilities during all hours of operation. Needing the toilet is a distraction for bus drivers, impacting their ability to concentrate on the road. Facilities, which utilise environmentally friendly solar power, were delivered at ten sites at the end of the quarter.

Quarter 2 saw the launch of a new simplified risk assessment process for TfL. The new process seeks to place greater emphasis on seeking and implementing improved risk control measures and informing monitoring regimes for risk controls.

The draft design of new training for middle managers concluded during the quarter. All managers will complete online learning covering their HSE roles and responsibilities outlined in the TfL HSE management system. For operational managers, this will be supplemented by classroom based training, delivered by TfL HSE Managers. The training will be launched in quarter 3.

Construction workforce Accident Frequency Rate (AFR)



Our construction workforce accounted for 50 of workforce injuries in the quarter. This is a 17 per cent improvement on quarter 2 last year. Four of the injuries in the quarter were reported under RIDDOR, triggered by the length of absence from work, rather than the severity of the injury.

For our direct employees, incidents involving machinery, equipment or powered tools were the main cause of injuries. The majority of these occurred within LU, where there has been a stable trend since the start of last year. Slips, trips and falls is the second most common cause of injury for our construction workforce within LU and Surface Transport.

In August we launched a new five year HSE strategy for our major projects and the first of five supporting HSE Improvement Plans, which will run for each year of the strategy.

The specific focus is on making HSE personal for our people across TfL and our supply chain, the embedment of HSE at the core of business delivery, including the provision of suitable tools and processes and the increased use of sustainable design, construction methods & materials that facilitate alignment to hierarchical risk management practices, prevent pollution & nuisance and help protect & enhance biodiversity.

During quarter 2 we revised our Supplier Assessment Tool (SAT) to enable its use across all TfL construction-related activities. This tool facilitates a consistent approach to the seeking, recording and communication of TfL HSE assurance activities. Work commenced to revise and expand the use of our 'Beacon' HSE award, which recognises excellence in site management across all TfL Capital Delivery projects. Currently Beacon

is utilised within our Major and Renewal & Enhancement projects.

Training and competence for those maintaining the tramway is being improved by supplementing the current training with the addition of a mentoring and assessment process, before an individual is considered fully competent to manage construction works on the tramway. A working group representing key stakeholders is developing the mentoring and competence process.

Work continues to develop the Behavioural-Based Safety (BBS) programme that promotes "working HSE together". The programme will provide the guidance and the tools to enable capital delivery teams to engage with their HSE support and to improve their HSE capabilities, skill set and knowledge. An integral part of the BBS programme is to encourage more engagement with the supply chain; share common HSE values and use their expertise and knowledge to continually improve HSE performance.

We have launched a new incident & near miss reporting application to improve the ease and efficiency of reporting. Construction teams within our major projects have been the first to use the new tool, helping ensure it works correctly. The "app" has been well received with a demonstrable improvement in levels of reporting and will be rolled out more widely during quarter 3.

Within our major projects we have taken action to improve the timeliness and

quality of the investigation, close out and communication of findings from our incidents and near misses. We:

- Coached our project teams on the importance of timely and quality investigations, including what to look for and how to use our reporting system;
- Ran a campaign, featuring our senior leadership team, highlighting their commitment to high-quality, factual investigation;
- Increased the visibility of our incident close-out rates, including how we use the data to improve HSE performance;
- Started to review our tools and forums for sharing lessons learned.

The Crossrail Health and Safety Performance Index (HSPI), has shown a consistently good level of performance overall, with all indicators performing well during quarter 2. The overall performance at the end of quarter 2 was 2.57, significantly above the target level of 2.20 (maximum score 3.00). The RIDDOR

"I am passionate about getting everyone who works for or on behalf of MPD home safe and healthy every day. Launching our new MPD HSE Strategy I have ensured the focus is on making HSE personal; empowering each and every one of us to be HSE leaders; developing & sharing good practice and creating a safe space for challenge and improvement when we think things can be made better."

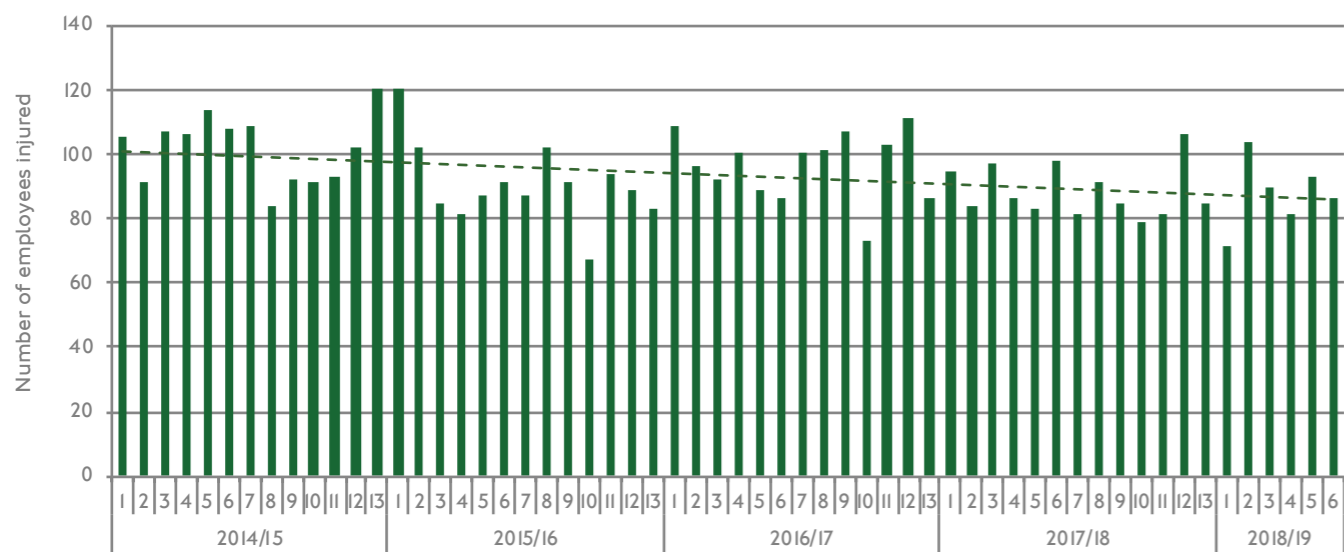
Stuart Harvey
Director Major Projects

Accident Frequency Rate (AFR) rate is better than the target of 0.15. We maintain our objective of seeing this trend to 0.06 and launched our 'Finish Safe' campaign to support this. The campaign focuses on ensuring basic safety rules are followed; increasing the impact of increased senior management engagement on site and promoting the importance of the role of site supervisors in ensuring site safety.

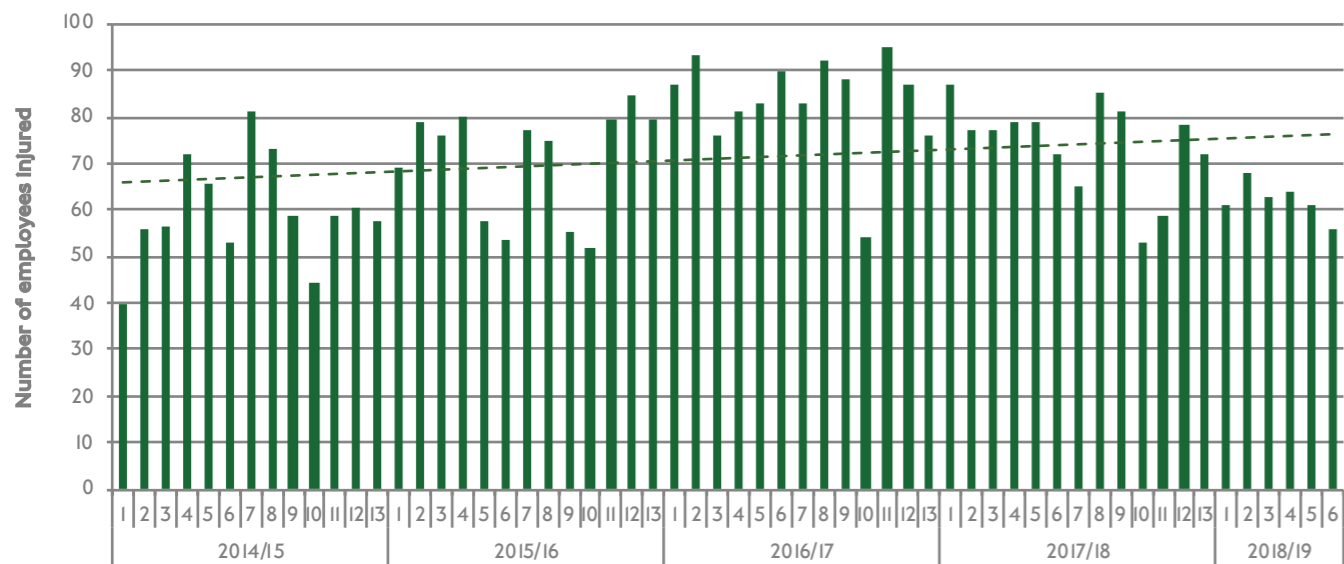
We aim to really learn from all incidents and the monthly Crossrail Health and Safety Learning Forum has continued to be a very successful way of sharing lessons from both incidents and best practice initiatives. Themes during the quarter included the detection of buried services, the management of energised systems and mental health wellbeing.



TfL direct employee total injuries - long term trend 



TfL supplier total injuries - long term trend 



The overall trend for total workforce injuries since 2015/16 is improving. This is the case for both TfL's own staff and our suppliers' staff. However, we observed a faster rate of reduction in injuries within our supplier workforce since the start of last year. Injuries to bus drivers, which account for the majority of our suppliers' workforce injuries, has reduced by 23 per cent compared to the same quarter last year.

Plans for next quarter

During quarter 3 we will:

- Extend the successful near miss reporting campaign used within LU Renewal & Enhancements to our LU operations and maintenance teams
- Start a root and branch review of the communication of safety critical information in LU
- Deliver additional bus driver toilets on 20 routes by December 2018
- Launch new HSE training for middle managers
- Complete gap analysis fatigue management for tram maintenance staff
- Baseline fatigue risk profiles for trams maintenance staff
- Launch the revised Beacon award scheme across TfL
- Extend the use of the reporting app for incidents and near misses
- Hold a pan-TfL Zero Harm Forum to promote a partnership approach to HSE management between TfL and its supply chain
- Continue the Finish Safe campaign on Crossrail.



Workplace Violence

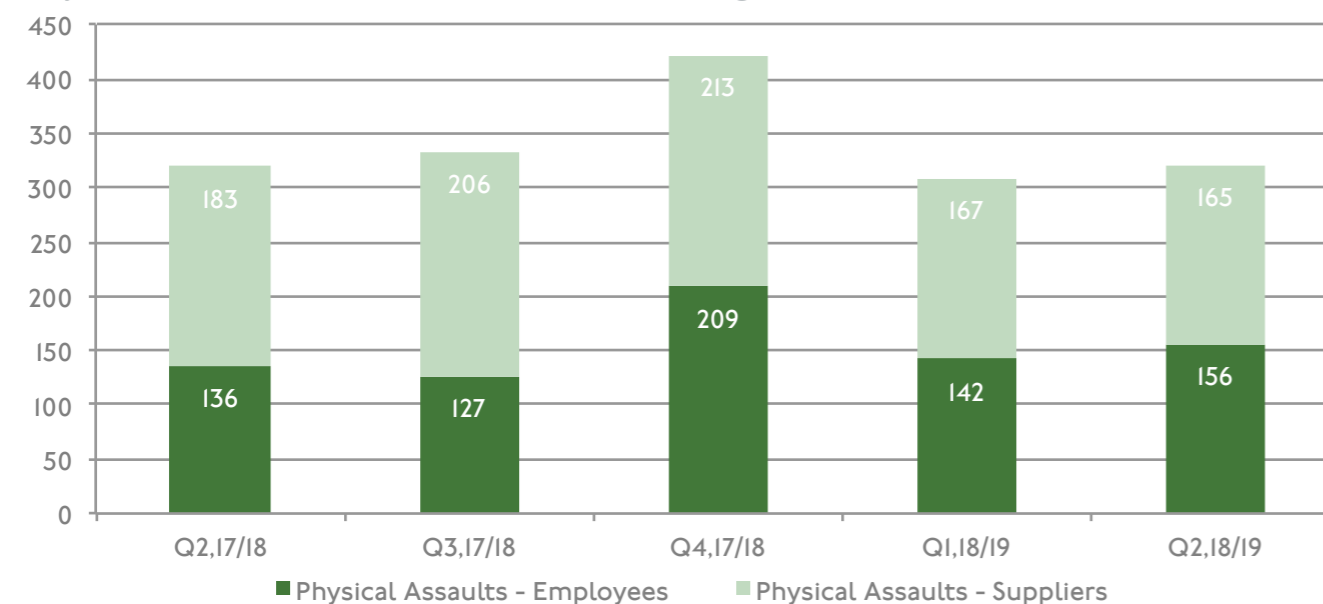
Overview: workplace violence in Q1

Physical Assaults	Non-physical Assaults	Total Assaults
321	773	1094

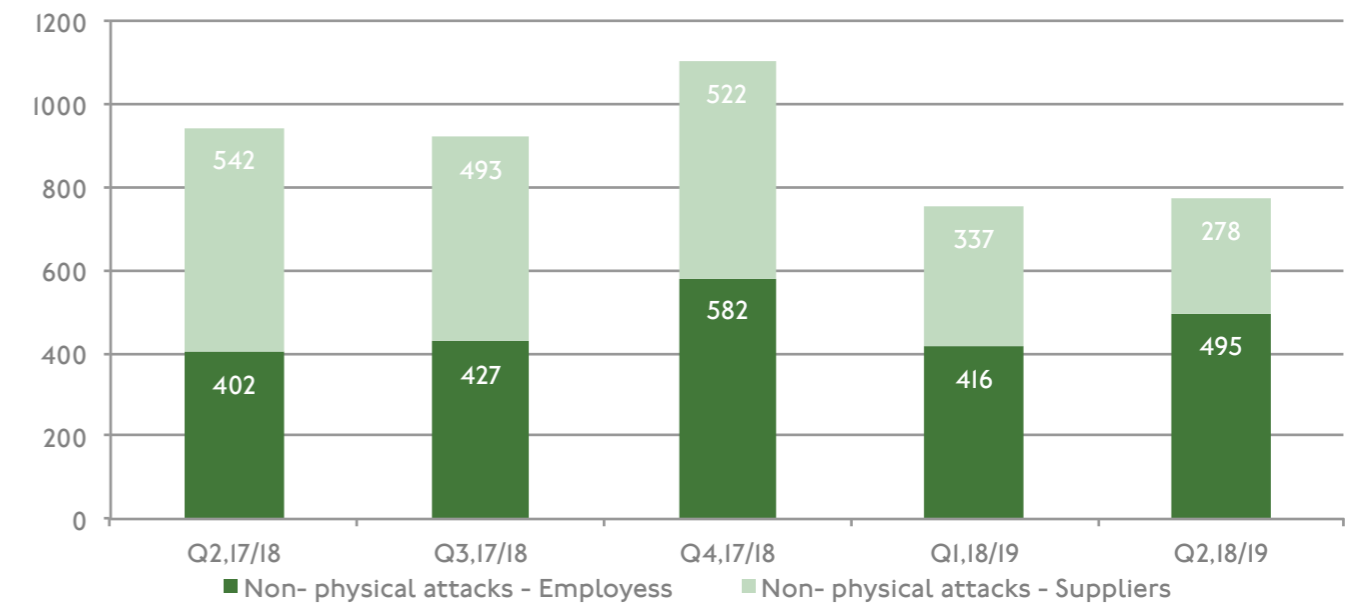
In the quarter, there were a total of 1,094 acts of violence towards our workforce, 29 per cent of which were physical assaults. Incidents tend to be connected with revenue collection and temporary LU station closures as part of our congestion control plans. These incidents mainly result in verbal abuse. Road-rage also features as a cause for our road-based operations.

For our direct employees, there were a total of 651 acts of violence in the quarter, 24 per cent of which were physical assaults. For our suppliers, a total of 443 staff were affected by workplace violence in the quarter, 37 per cent of which were physical assaults. Eighty per cent of all acts of violence against our supplier's workforce were recorded on the bus network (our largest customer-facing supplier workforce). DLR and LO recorded ten per cent and six per cent respectively.

Physical assaults on workforce - five rolling quarters



Non-physical assaults on workforce - five rolling quarters



The total level of violence against our workforce in the quarter shows a reduction of 13 per cent compared to the same quarter last year, resulting mainly from a reduction in assaults to supplier staff of 39 per cent. However, there was an overall 21 per cent increase in the assaults reported by our direct employees arising from a 15 per cent increase in physical assaults and a 23 per cent increase in verbal assaults when compared to quarter 2 last year.

Through dedicated teams in our operational businesses, we support our workforce to take formal action through the police, against those who commit acts of violence. The workplace violence support teams worked closely with the police to assist their investigations. At the TfL and British Transport Police (BTP) Strategy and Performance Meeting in September, special

focus was given to violence and aggression towards LU staff.

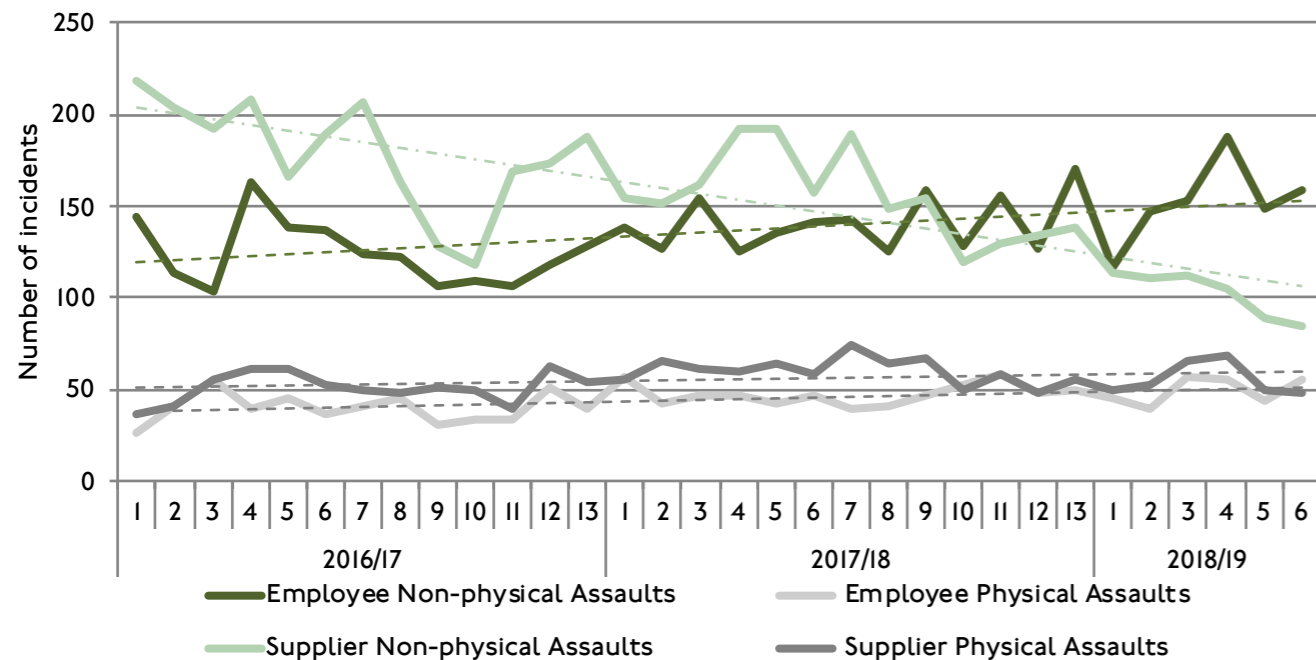
During the quarter, reviews of workplace aggression and our staff assault process were completed for our LU and road-based operations. The reviews included looking at how we could better assist and support staff who experience workplace violence. A few small gaps in the system were found and those gaps have successfully been filled. The result is that staff who are assaulted are supported quicker and a police statement obtained in a shorter time frame. This makes the statement fresher and enables the police to pursue investigatory avenues immediately. Consultation on the actions to address the findings of the LU review is underway with stakeholders.

Other key areas of activity during the quarter include a focus on the use of spit kits for staff, in particular bus drivers. Bus Operators are now increasingly providing a spit kit in the bus cab, which removes the need for the driver to carry the kit around. We are now seeing a significant increase in bus drivers using spit kits, enabling the identification of more suspects. Spit kits have been used to

collect evidence in 90 per cent of spitting cases, which is a positive step forward for crime detection.

The support teams have also targeted staff at operational hubs eg Victoria bus station, to promote the support that is available to members of our workforce who experience violence in their workplace.

Workplace violence - long term trend



The trend for physical assaults on our workforce has risen since 2016/17. However, non-physical violence towards our workforce has declined on our bus network, which in turn has contributed to an overall decline within our supplier workforce.

Our staff are encouraged to report all acts of aggression towards them, it is therefore accepted that higher levels of reported non-physical violence is a sign of positive culture, and enables effective deployment of enforcement personnel.

Health & Wellbeing

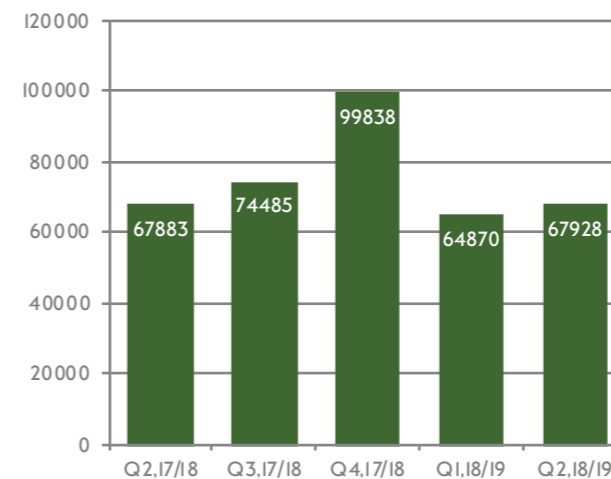
Workforce sickness absence

Working days lost to sickness	% working days lost to sickness
67,928	4.37%

We employ close to 26,000 staff in TfL. Within our direct employee workforce, a total of 67,928 working days were lost due to sickness in quarter 2; with 81 per cent of the working days lost within LU and 12 per cent within Surface Transport.

We currently implement work-related risk controls and employee support in respect of musculo-skeletal issues, mental health and accidents/assault. During the quarter, 56 per cent of the days lost were attributed to these three causes.

Days lost to sickness absence – rolling 5 quarters



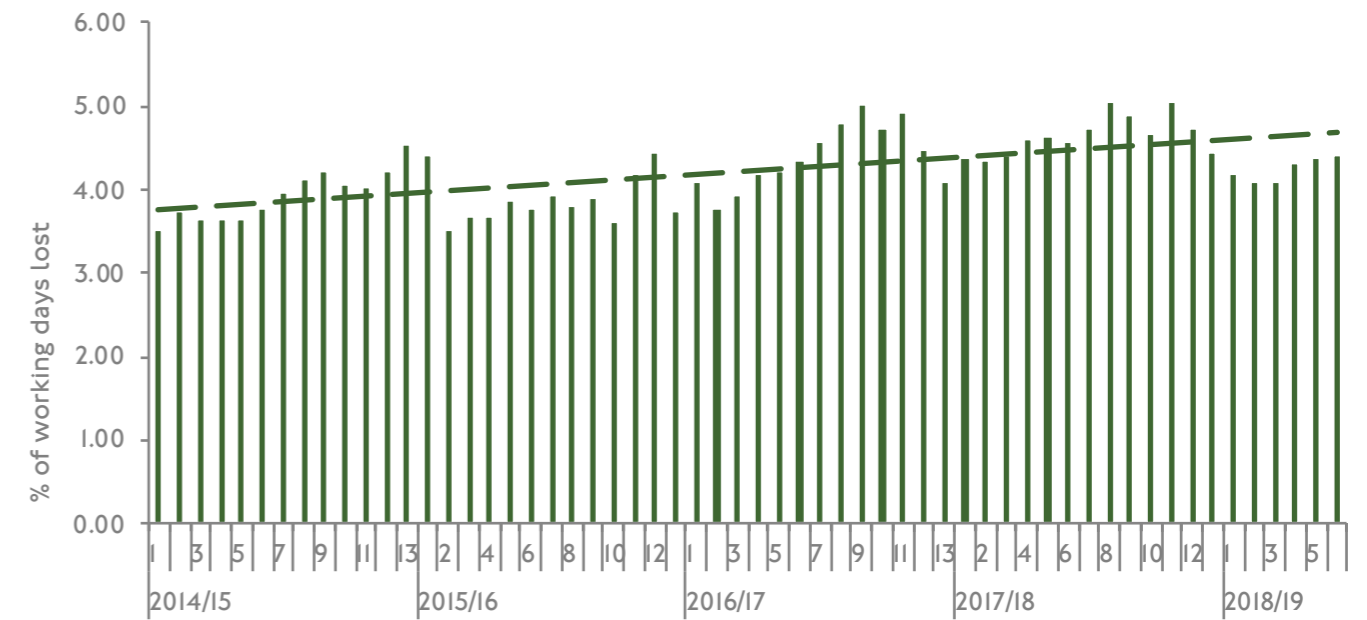
The total number of working days lost to sickness shows an increase (0.07 per cent) on the same quarter last year. The number of working days lost due to mental health rose 9.3 per cent compared with the same period of last year.

However, there was a reduction of 8.3 per cent in the number of working days lost to musculo-skeletal conditions, compared to the same period of last year.


We also observed increases in the proportion of working days lost to Accident /Assaults, Neurological issues and Heart Disease, compared to quarter 2 last year.

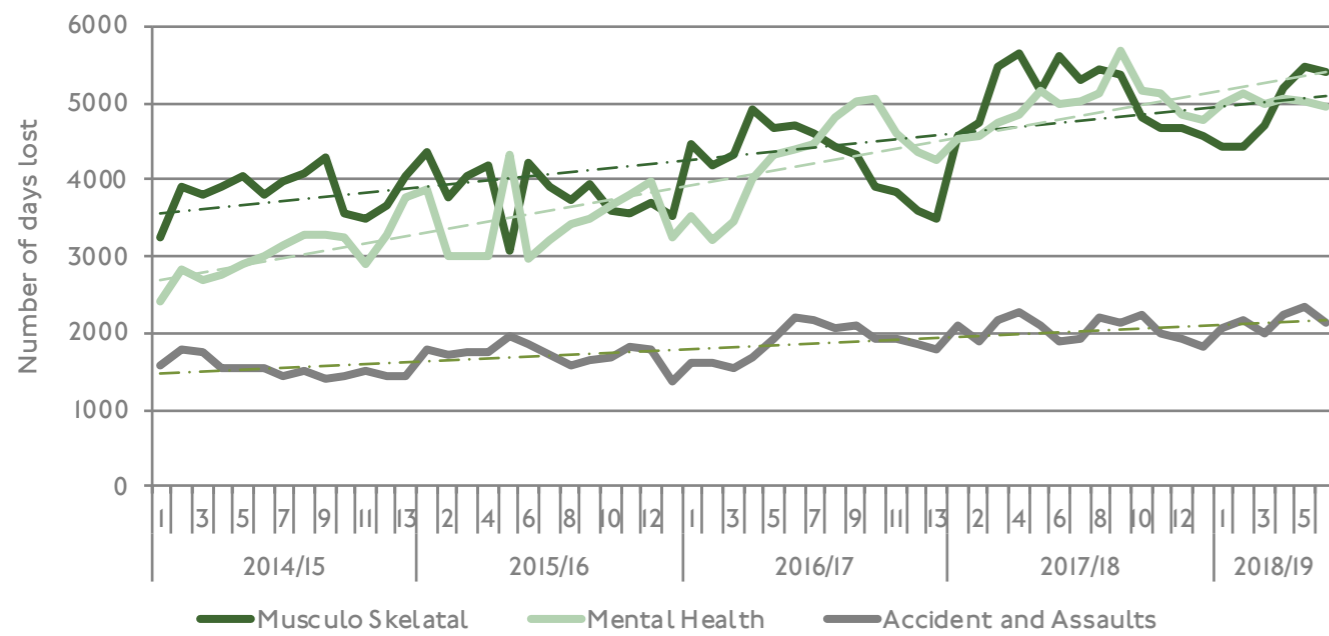


% Available working days lost - all sickness absence - long term trend 



We have observed a worsening trend in working days lost (when considered over 5 years), including when shown as a proportion of available working days.

Working days lost due to sickness causes for areas with specific work related risk controls - long term trend 



The long term trend for the number of working days lost to musculo-skeletal, mental health and accidents/assaults causes is increasing.



London's streets will be clean and green

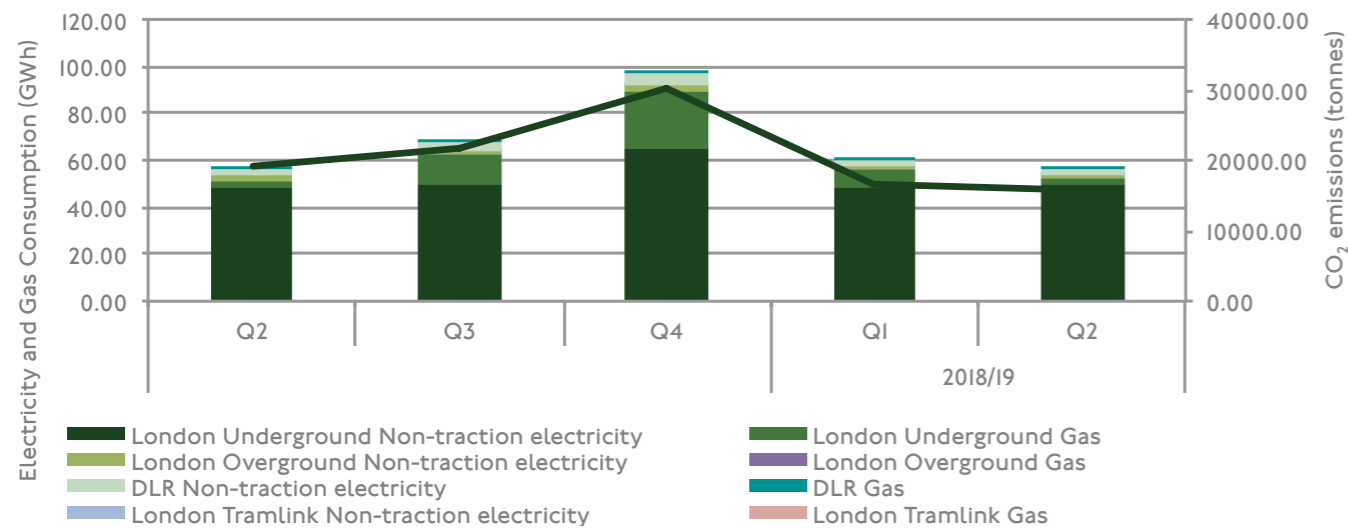


Energy Usage and Emissions

Overview

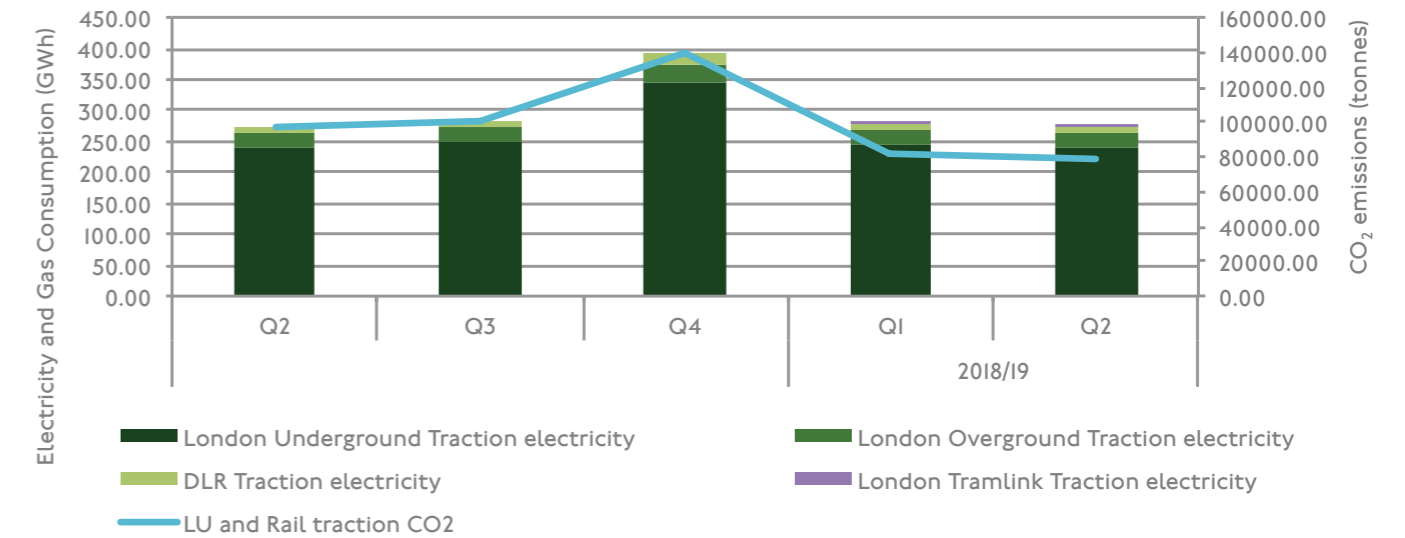
Performance	Improvement activities
<ul style="list-style-type: none"> ✗ Year to date traction electricity consumption up one per cent on last year ✓ Recommissioning of Combined Heat and Power plant at Palestra head office has delivered 13 per cent energy efficiency improvements and saved over £200K ✓ On track to meet target for 100 per cent Euro VI standard buses by 2020 ✓ On track for delivery of rapid charging points for electric vehicles. 	<ul style="list-style-type: none"> ✓ Support the implementation of the schools air quality audit recommendations. ✓ Completed the trials of the biodiversity base-lining tool; commended by Environment Agency ✓ Contract awarded for Ultra Low Emission Zone compliant Dial-a-Ride vehicles ✓ Launched on-street electric charging points procurement framework for boroughs.

Non-traction electricity and gas use rolling 5 quarters (GWh)



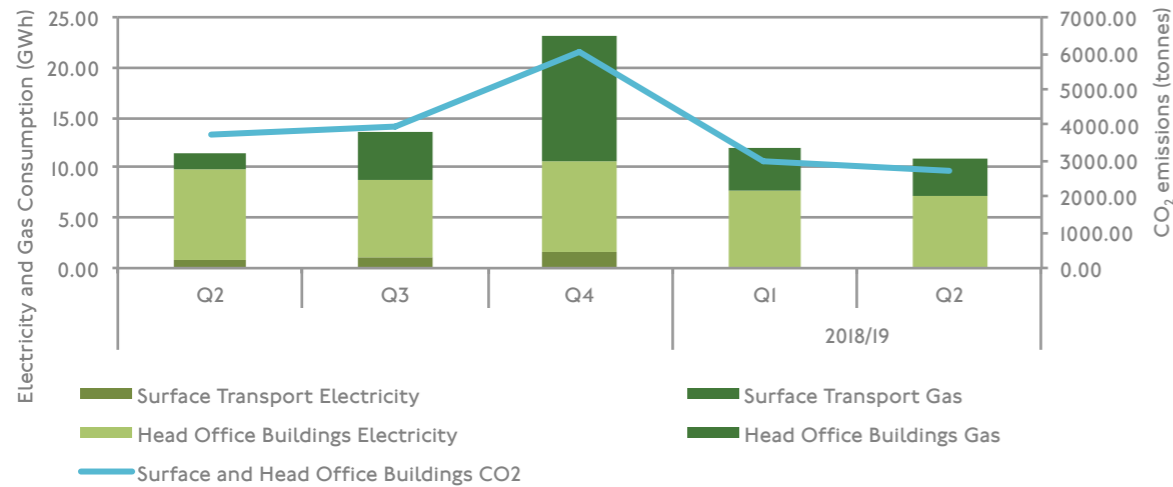
Our usage of non traction energy rose marginally by 0.8 per cent with a total of 53.5 GWh used during quarter 2. So far this year, we have used 107.1 GWh of non traction energy (up 0.1 per cent on the equivalent period of last year). LU is responsible for the majority of consumption and recorded a 1.8 per cent increase on quarter 2 last year, following increases in service levels, such as the introduction of the new Jubilee line timetable in May this year. Energy use reduced in London Overground and DLR. Total CO2 emissions from rail non-traction energy were 15,790 tonnes in quarter 2, an improvement of 18 per cent compared to quarter 2 last year, due to decreases in grid electricity emissions intensity.

Traction electricity use rolling 5 quarters (GWh)



Our usage of traction energy rose marginally by 0.9 per cent with a total of 275.5 GWh used during quarter 2. So far this year, we have used 558.9 GWh of traction energy (up 1 per cent on the equivalent period of 1). LU is responsible for the majority of consumption and recorded a static performance compared to the same period of last year. For London Overground, there was a 2.4 per cent increase and DLR recorded a reduced consumption by 3.7 per cent. Total CO2 emissions from rail traction energy were 78,862 tonnes in quarter 2, an improvement of 18 per cent compared to quarter 2 last year.

Surface transport and head office gas and electricity consumption (GWh)



Within our head office buildings, we used 3.53 GWh of gas, up from the 1.7 GWh used in the same quarter last year. For electricity, we saw a reduction of 18.9 per cent in usage. Although our gas usage increased, overall energy efficiency and carbon emissions have improved by 9 per cent this year to date. This is predominantly following the successful recommissioning of the gas Combined Cooling, Heat and Power plant at our Palestra head office in December 2017. This plant generates electricity by burning gas, resulting in an increase in gas consumption, as electricity consumption has decreased.

RE:FIT energy efficiency improvements

On-site works have now been completed under TfL's £2.6m programme of energy efficiency improvements using the Mayor's RE:FIT framework. Working with RE:FIT supplier E.ON Control Solutions, energy conservation measures were installed at nine of our buildings including head offices, bus garages and London Underground operational sites.

We have installed LED lighting throughout Trackside House lighting and a building management system at Walworth and Uxbridge bus garages. Our next phase of works under the RE:FIT framework will

include a programme of solar PV installations, working in partnership with Engie.

The recommissioning of the gas Combined Cooling, Heat and Power plant at our Palestra head office in December 2017 were our largest and most complex works, complemented by improvements to domestic hot water and cooling systems. Monitoring of improvements over the first nine months of operation shows an improvement in building energy efficiency of 13 per cent at Palestra and delivered utility cost savings over of £235k.

Environmental incidents in Q2

LU	Major Projects	Surface	Other	Total
48	7	0	0	55

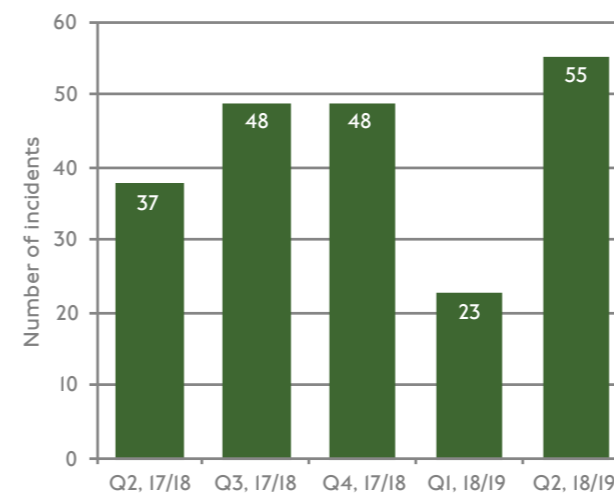
Top 4 causes of environmental incidents

Pollution	Waste & Resource	Noise & Vibration	Other
47%	33%	18%	2%

There has been a 49 per cent increase in environmental incidents in Q2 compared with the same quarter last year. The increase is being driven in particular by the trebling of the number of pollution incidents reported and a doubling of the number of waste & resource incidents in LU. This aligns with a period of training and awareness-raising on environmental matters.

The pollution incidents relate to small-scale spillages of potential pollutants eg. hydraulic fluid. The use of spill kits and rapid clean up of the spills prevents harmful substances entering the environment.

Environmental incidents



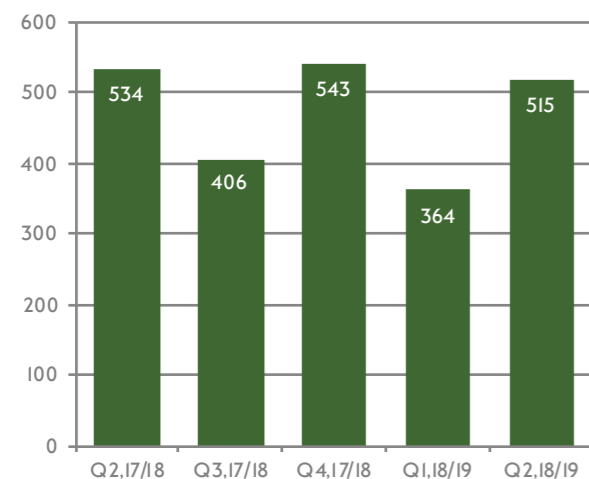
Environmental complaints

Streets	Buses	LU	Rail	MPD	Other	Total
41	125	269	76	1	3	515

Top 4 causes of environmental complaints

Operational noise	Smell/Cleanliness	Works noise	Vegetation
31%	19%	19%	17%

Number of environmental complaints in last 5 quarters



A total of 515 environment related complaints were received during quarter 2, with the majority related to our public transport operations.

Operational noise continues to be the dominant cause of complaints (31 per cent), followed by smell/cleanliness (19 per cent), works noise (19 per cent) and vegetation. All complaints are investigated to ensure that our environmental management arrangements are being complied with in order to protect the environment and prevent nuisance to those living and working alongside our networks.

Environment-related complaints have fallen six per cent compared with the same quarter last year. This has been driven by a fall in complaints related to air pollution, operational noise, smell/cleanliness and vandalism/waste/ litter/graffiti associated with our bus operations. Improvements have also been seen in the number of complaints related to habitats and vegetation on the LU network; although there has been an increase in complaints relating to street vegetation. On our rail networks, complaints relating to operational noise and smell/cleanliness have increased. The LU network has seen a rise in complaints about works noise.

The Mayor's School Air Quality Audit Programme

The GLA, supported by TfL, have held meetings with representatives of 36 of the 50 audited schools; with the remaining 14 scheduled to take place by the end of the year. These meetings are an opportunity for school and borough representatives to establish implementation plans for each of the 50 participating primary schools as well as to discuss how they wish to spend the £10,000 funding made available to them. Going forward, we will support the 50 primary schools in taking forward the transport-related interventions recommended in the audits.

A cleaner fleet for TfL

Sixty per cent of our fleet now meets Euro VI emissions standards. There are now 5,650 Euro VI standard buses, compared with the baseline of 1,194 in 2016, with an average 8g/km saving. Given the average bus travels approximately 60,000 km per annum, the saving is 2,138 tonnes of NOx each year. This represents a 60 per cent reduction in NOx emissions since the Mayor came into office and we remain on track to meet the 100 per cent target by the end of 2020.

Over 75 per cent of the central London fleet is now Ultra Low Emission Zone (ULEZ) compliant and we have 106 zero emission buses in the fleet (96 pure electric and ten fuel cell). This number is set to grow later this year and we are accelerating this transition through the introduction of Low Emission Bus Zones beyond the proposed ULEZ.

On 19 July, we awarded the contract for the delivery of 90 ULEZ compliant Dial-a-Ride minibuses to Mellor Coachcraft ahead of

the introduction of the first stage of ULEZ in April 2019. In addition to being much cleaner, the new buses are expected to help reduce fuel consumption across the fleet.

Electric vehicle and charging infrastructure

To support the growing number of zero emission capable taxis and the take up of electric vehicles, we are building a network of rapid charge points across London. We have installed 122 to date, as part of our target of 150 rapid charge points by December 2018 and 300 by December 2020. 57 charging points are taxi dedicated, to support a fleet of over 400 Zero Emission Capable taxis licensed in London.

The Electric Vehicle (EV) Infrastructure Taskforce has been launched looking at where, what and how many charge points we need in London up to 2025. Two workshops have been held to discuss user requirements and to identify barriers to delivery. In addition to this, the Transport and Environment Committee (TEC) sub group is seeking to enhance the provision of rapid electric vehicle charge points across London through discussion and provision of advice to TEC. The sub group met in July and proposed each London Borough put forward 20 possible rapid charge point locations.

We have been working with London Councils, car club operators and boroughs to allocate Go Ultra Low Cities Scheme funding for the installation of car club and residential charge points. In August we launched a procurement framework for boroughs to install on-street charge points. Boroughs have so far shown a strong preference for lamp post charge

points, with approximately 80 per cent of initial orders placed favouring this type of charge point.

Net gain for biodiversity

Our trials of the TfL net gain biodiversity toolkit have progressed. This allows us to calculate the baseline biodiversity value prior to development and inform potential mitigation for biodiversity loss on a number of projects. This will allow us to understand the potential for rolling the toolkit out more widely across a range of small, medium and large projects going forward.

We have included the requirement for achieving net gain for biodiversity within contracts for Rotherhithe to Canary Wharf and Sutton Link Project. This commitment and action has been commended by the Environment Agency. We have also presented our goals and approach at the London Boroughs Biodiversity Forum (LBBF), and our work has been used by the Institute of Environmental Management & Assessment (IEMA) and Greenspace Information for Greater London (GiGL) as case studies for net gain biodiversity.

Plans for next quarter

During Q3 we will:

- Deliver three Low Emission Bus Zones.



Regulatory investigation and enforcement update

On 4 June 2016 a contractor working on track improvements was injured as a result of being crushed against a platform at Whitechapel Station by a road rail vehicle and suffered severe injuries. The Office of Rail and Road (ORR) issued criminal proceedings in the Magistrates' Court against London Underground and Balfour Beatty Rail Limited (BBRL) for breach of section 3(l) of the Health and Safety at Work etc. Act 1974. At the first appearance hearing on 17 May 2018 at Thames Magistrates' Court, LU and BBRL both pleaded guilty and a sentencing will take place on 29 November 2018, the outcome of the sentencing hearing will be provided in the next quarter's report. LU has been taking steps to prevent a reoccurrence of such an incident by reviewing its approach and the contractor's approach to manage safety during works. Safety performance has improved significantly over the past 12-18 months due to an increased focus on safe working environments.

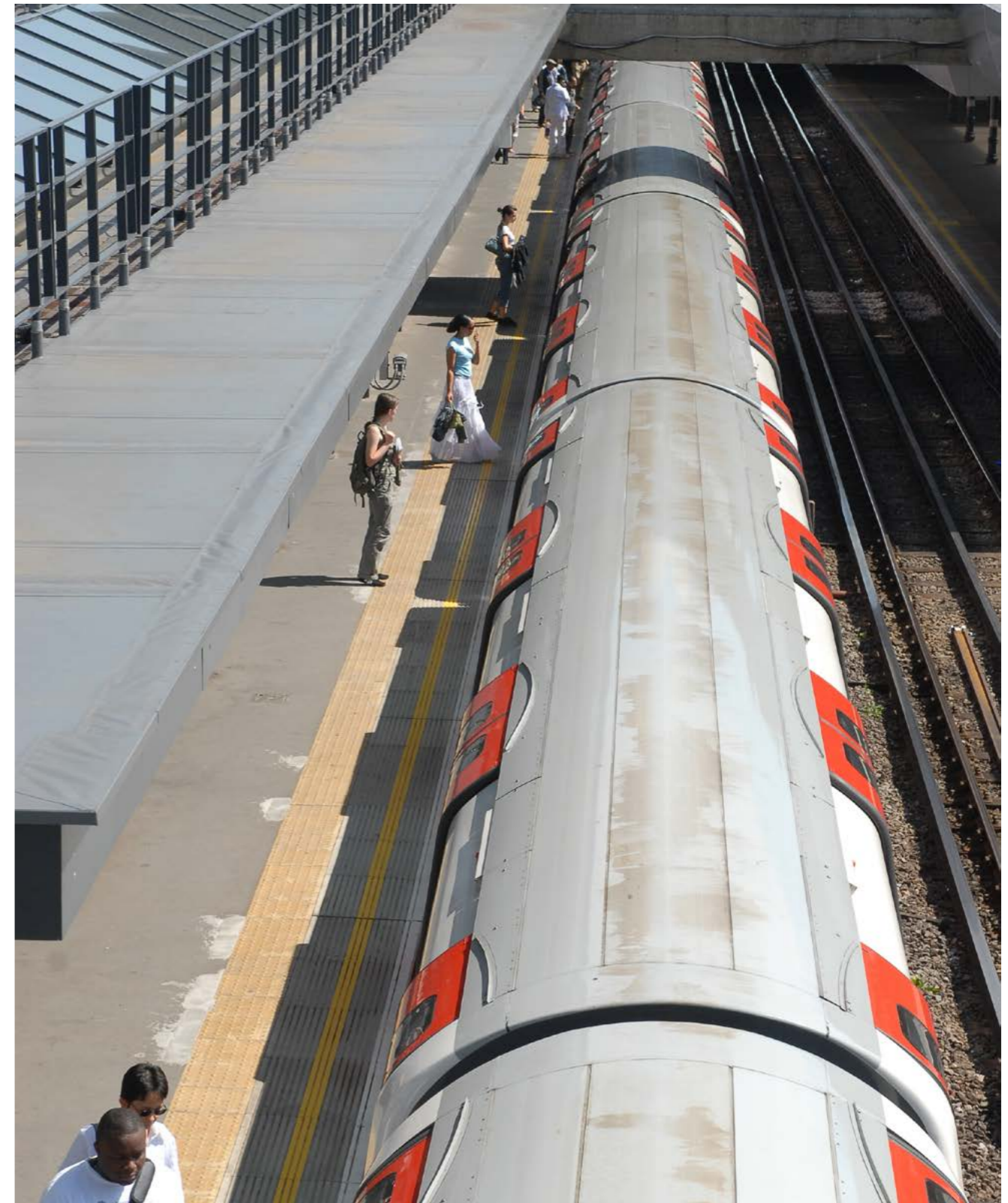
On 1 September, a Jubilee line train was operated between West Hampstead to Finchley Road with 11 doors open. The RAIB and ORR are investigating. We are carrying out a formal investigation which is considering failure modes of the train stock and human factor aspects relating to operation of the train. The report will be finalised early in November.

On 3 September 2018, the RAIB published their independent investigation into an incident at Notting Hill Gate station in January 2018 in which a 76 year old woman was caught in the doors of a Central line train and dragged under the train. In response to

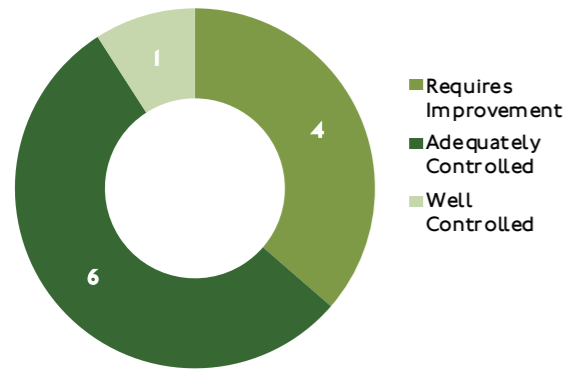
the RAIB's recommendations, the following action is underway:

- We have started research to understand how to improve train operators' awareness and help them maintain concentration.
- Our current rolling stock requirements which manage the risks relating to dragging are being reviewed to identify any further measures that can be taken.
- We are reviewing the techniques used by train operators to scan their cameras, including how we train them for this task.
- We are improving how we communicate risks at the PTI to customers

Surface Transport previously reported an incident on the A40 in November 2011, in which a motorcyclist was injured as a result of temporary bridging plates installed over defective expansion joints on the A40 Westway. The HSE investigation is still ongoing and no formal warnings or notices have been issued to date.



Audit conclusions



A total of 11 health, safety or environmental related audits were conducted in quarter 2. Of the audits completed, one concluded that risks were 'well controlled', six concluded risks were 'adequately controlled' and in four cases the audits concluded that the management of risk 'requires improvement':

1. The LU Stations Competence Management System (CMS): A number of key documents or elements of the CMS were not fully developed or maintained in accordance with regulatory guidance: The control and quality assurance of a number of CMS procedures was weak.

2. Cutting, drilling and fixing to existing LU Structures: Standards did not adequately account for managing non-compliance with, or change to design. Assurance had not been provided as the surveillance plan had not been implemented. Key roles and responsibilities had not been defined.
3. Piccadilly Line HSE Management: A wide range of HSE management system activities had been inadequately implemented.
4. Supplier audit: supplier of LU engineering parts. Despite advance

notice of the audit, the supplier was unable to provide evidence of compliance with its own quality management system.

Where any risk management is identified to be deficient of the required standard, a corrective action plan is implemented to ensure improvements are made.



Appendix I: Sandilands investigation recommendations applicable to TfL

Table I: Sandilands investigation recommendations applicable to TfL and its subsidiaries

Recommendation	Progress to date
UK tram operators, owners and infrastructure managers should conduct a systematic review of operational risks and control measures associated with the design, maintenance and operation of tramways.	<p>TfL and London Trams (LT) are represented on the UK Tram Industry Sandilands Sub Committee, established to consider the RAIB findings and take action on behalf of the UK tram industry.</p> <p>LT and Tram Operations Ltd (TOL) review of route risk assessments and the network risk model has been shared with the wider UK tram industry. The industry is reviewing all risk assessments within the industry to agree a standard approach. The LT/TOL risk assessments have been reviewed and revised in line with this approach. An industry risk model is under development via UK Tram and the Light Rail Safety and Standards Board.</p>
[RAIB recommendation 2. Links with RAIB Recommendation 1, 10, and TfL Recommendation 5]	TfL presented an overview and findings of Risk Model work to Rail Safety and Standards Board Risk Management Forum in June 2018.
UK tram operators, owners and infrastructure managers should work together to review, develop, and install suitable measures to automatically reduce tram speeds if they approach higher risk locations at speeds which could result in derailment or overturning.	<p>The tender process for the installation of a new safety system on the London Trams network that will automatically apply the brakes should the speed limit be exceeded at high risk locations, continues.</p> <p>The initial evaluation of suppliers is underway. The Invitation to Tender was issued 31 July and the contract is due to be awarded by the end of the year. The ambition is that the system will be installed and in operation by the end of 2019, including a period of training and familiarisation with tram drivers ahead of it becoming fully operational. TOL are an active stakeholder in this.</p> <p>The new system will automatically bring a moving tram to a controlled stop if it were to exceed the speed limit at a designated location. The system would also automatically alert the operations control centre.</p>
[RAIB recommendation 3. Links with TfL recommendation 2]	The system will initially be configured to priority locations as suggested by the RAIB but will have the flexibility to be introduced elsewhere on the tram network.
UK tram operators, owners and infrastructure managers should work together to research and evaluate systems capable of reliably detecting driver attention state and initiating appropriate automatic responses if a low level of alertness is identified.	<p>Complete: Working closely with TOL, LT has procured and commissioned the 'Seeing Machine Guardian' driver protection system fleet wide. This system uses proven facial movement technology to monitor driver fatigue and distraction. The system was fully installed across the LT fleet in October 2017.</p> <p>An additional feature of the Guardian system is that it is programmed to alert drivers if the maximum speed goes above 70kph.</p> <p>TOL were closely involved in the selection and implementation of this system and played the major role in securing driver support.</p>
[RAIB recommendation 4]	LT and TOL have already hosted several delegations, including UKTram and others, to demonstrate the technology in operation.

Recommendation	Progress to date
UK tram operators, owners and infrastructure managers, in consultation with the DfT, should work together to review signage, lighting and other visual information cues available on segregated and off-track areas required by drivers on the approach to high risk locations.	<p>LT undertook a comprehensive review of tram speeds and speed signage across its network.</p> <p>As a result the following measures were put in place by September 2017. TOL are an active and engaged stakeholder on this initiative:</p> <ol style="list-style-type: none"> 1. The maximum tram speed on the network was reduced by 10kph, from 80kph to 70kph. The effect is that the potential for coasting in high speed areas has been removed, and that continual speed management is required in these low workload areas so increasing driver alertness. 2. Additional step down speed signage was implemented in all locations where speeds reduced by more than 20kph, enhancing driver visual cueing and orientation. 3. Where speed signs are located immediately in advance of higher risk locations, e.g. a tram stop or a curve with low approach visibility, the sign has been enhanced with the addition of a high visibility outer border as an additional visual cue to drivers of an approaching hazard. <p>iTram</p> <p>Prior to the implementation of an automatic braking system, LT will implement iTram to provide audible in-cab over speed alerts. iTram is a performance monitoring tool that as well as driving safety improvements by trend analysis of tram speeds, also utilises GPS technology to provide over speed warnings to drivers at all points across the network. It is therefore an enhancement on the Guardian system which can only alert drivers if they exceed the maximum speed limit.</p> <p>The software release design continues and installation resource has been established. A Human Factors specialist has reviewed tram drivers' task load. The first fit trial iTram equipment installation has taken place on trams, with engagement ongoing with original equipment manufacturers to engage them to act as Design Authority.</p> <p>Review of Visual Cueing</p> <p>LT and TOL have completed a comprehensive Route Hazard Analysis. The conclusion is that the already completed installation of additional speed signage work improves driver visual cueing on the network. Conceptual designs for enhanced visual cueing in Sandilands tunnel are under TOL driver consultation.</p> <p>Tunnel Lighting</p> <p>Post the Sandilands incident we installed additional temporary lighting on the approach to the Sandilands tunnel.</p> <p>An updated specification and outline design has been issued by TfL highway engineers to implement a comprehensive improvement to the existing Sandilands tunnel lighting. The new design will adopt best practice from the automotive industry to reduce the impact of glare on driver's eyes both when entering and exiting the tunnel. Work is expected to be complete on the improved tunnel lighting in early 2019.</p> <p>We are also trialling illuminated warning signs, similar to those used on roads to warn drivers their speed is above the limit. The effectiveness of these signs will be evaluated in summer 2018 and the feedback will be shared with the UK tram industry.</p>
[RAIB recommendation 5. Links to TfL Recommendation 1]	

Recommendation	Progress to date
UK tram operators and owners should, in consultation with appropriate tram manufacturers and other European tramways, review existing research and, if necessary, undertake further research to identify means of improving the passenger containment provided by tram windows and doors. [RAIB recommendation 6. Links to TfL Recommendation 8]	<p>LT has commissioned the manufacture and testing of several prototype windows that may provide an appropriate level of additional containment. These prototypes have been assessed against the conditions likely to have been encountered during the Sandilands incident, and take into account any affect they may have on ease of access for the emergency services.</p> <p>LT have decided that mainline rail crash worthiness standard GM/RT2100 is more likely to offer protection against the conditions experienced during the Sandilands event. Strengthening film on top of the existing tempered glass has been selected as the immediate solution to strengthen glazing on trams.</p> <p>LT is investigating the practicalities of modifying tram doors and we will consider the recommendations made by the RAIB when designing new vehicles in the future.</p>
UK tram operators and owners should install (or modify existing) emergency lighting so that the lighting cannot be unintentionally switched off or disconnected during an emergency. [RAIB recommendation 7]	<p>In conjunction with industry experts, LT have formulated a Technical Specification for the retrofitting emergency lighting to its fleet. The system will be fully autonomous, and will operate independently of the trams battery system in the event of an emergency.</p> <p>Additionally, LT are aware of the conditions resulting in the failure of its existing standby lighting system during the Sandilands incident, and are also investigating how the existing system may be modified in order to achieve the desired emergency lighting outcomes in a simpler and more cost effective manner.</p> <p>TOL are an active and engaged stakeholder on this initiative.</p>
UK tram operators and owners should review options for enabling the rapid evacuation of a tram which is lying on its side after an accident. [RAIB recommendation 8]	<p>We will work with tram operators and tram manufacturers to identify and evaluate options to achieve this objective.</p>
TOL and LT should commission an independent review of its process for assessing risk associated with the operation of trams. [RAIB recommendation 10. Links with RAIB recommendation 2]	<p>The network risk model and route risk assessments have been reviewed and updated. They have been shared with the wider UK tram industry and TfL also presented an overview and findings of Risk Model work to Rail Safety and Standards Board Risk Management Forum in June 2018. Work has also been completed on our tram crossing risk assessments for Croydon town centre.</p> <p>A joint management process for the embedment of the models has been developed.</p> <p>The industry is reviewing all risk assessments within the industry to agree a standard approach. The LT/TOL risk assessments will be further reviewed and revised in line with this approach.</p>

Recommendation	Progress to date
TOL should review and, where necessary, improve the management of fatigue risk affecting its tram drivers with reference to the ORR's good practice guidance. [RAIB recommendation 11]	<p>TOL are implementing a safety improvement plan designed to address the intent of this recommendation through their own internal safety governance arrangements. An action plan is being developed for our next phase of action.</p>
TOL should commission an external organisation to review, the way that it learns from operational experience. [RAIB recommendation 12]	<p>TOL have implemented a "Just Culture" Programme designed to address the intent of this recommendation through their own internal safety governance arrangements.</p>
TOL and LT should review and improve the process for managing public and employee comments that indicate a possible safety risk. [RAIB recommendation 13]	<p>Complete: We have reviewed our customer complaints procedure and implemented improvements to ensure that any safety issue raised by a customer is dealt with efficiently and thoroughly across the TfL network.</p>
TOL and LT should review and improve their processes for inspecting and maintaining on-tram CCTV equipment to greatly reduce the likelihood of recorded images being unavailable for accident and incident investigation. This recommendation may apply to other UK tram operators. [RAIB recommendation 14]	<p>All LT Bombardier fleet has been fitted with new CCTV image recorders. CCTV health checkers which actively monitor the status of recording units and identify faults.</p> <p>A review is underway to establish whether similar remote monitoring capabilities can be introduced on the Stadler vehicles as is now used on the Bombardier vehicles. The review will be completed by September 2018.</p>
TOL and LT should review and revise where required existing tram maintenance and testing documentation to take account of experienced gained, and modifications made, since the trams were brought into operational service. [RAIB recommendation 15]	<p>LT has undertaken a comprehensive review of its written standards, maintenance processes and identified quality deficiencies. LT has appointed an independent entity to author new written standards, maintenance processes and forms addressing all quality gaps. This process will be in two phases, with sixteen critically prioritised standards and associated documents being delivered in the first phase. 4 standards have been issued for review.</p>
Review available driver cues in relation to braking points on approaching a curved section of the tramway. [TfL recommendation 1. Links to RAIB recommendation 5]	<p>Overall network top speed has been reduced from 80kph to 70kph. Additional 70kph signs have been provided to aid driver awareness of the permitted maximum speed.</p> <p>A design and signal sighting exercise has been concluded and the provision of additional step down speed signage to aid driver speed awareness and visual cueing is complete.</p> <p>Additional visibility signs have also been provided, which will heighten driver speed awareness in high risk areas.</p>

Recommendation	Progress to date
<p>Review of arrangements for the monitoring and management of speeding.</p> <p>[TfL recommendation 2. Links to RAIB recommendation 3]</p>	<p>LT has commissioned the installation and commissioning of the 'iTram' system, which will provide driver over-speed alerts network wide. iTram will also provide oncoming hazard awareness to drivers of high risk areas.</p>
<p>Review of traction brake controller (TBC) driver's safety device design.</p> <p>[TfL recommendation 3]</p>	<p>LT has procured and commissioned the 'Seeing Machine Guardian' driver protection system fleet wide. This system provides proven driver fatigue and distraction management via facial recognition technology.</p>



Date: 5 December 2018

Item: Escalators and Stairs Safety Plan

This paper will be considered in public

1 Summary

- 1.1 This paper sets out the plans for reducing customer accidental injuries on stairs and escalators across the London Underground Network. The paper focuses on challenges to reduce accidents and where most injuries on our stations take place, the approach that we are taking to reduce accidents and some of the actions planned to be implemented by the end of the financial year.
- 1.2 This is part of our Vision Zero ambition and the Health, Safety and Environment Teams vision of everyone home safe and healthy everyday.

2 Recommendation

- 2.1 **The Panel is asked to note the paper and appendix.**

List of appendices to this report:

Appendix 1 – Escalator and Stairs Safety Plan: reduce customer accidental injuries by 2%

List of Background Papers:

None

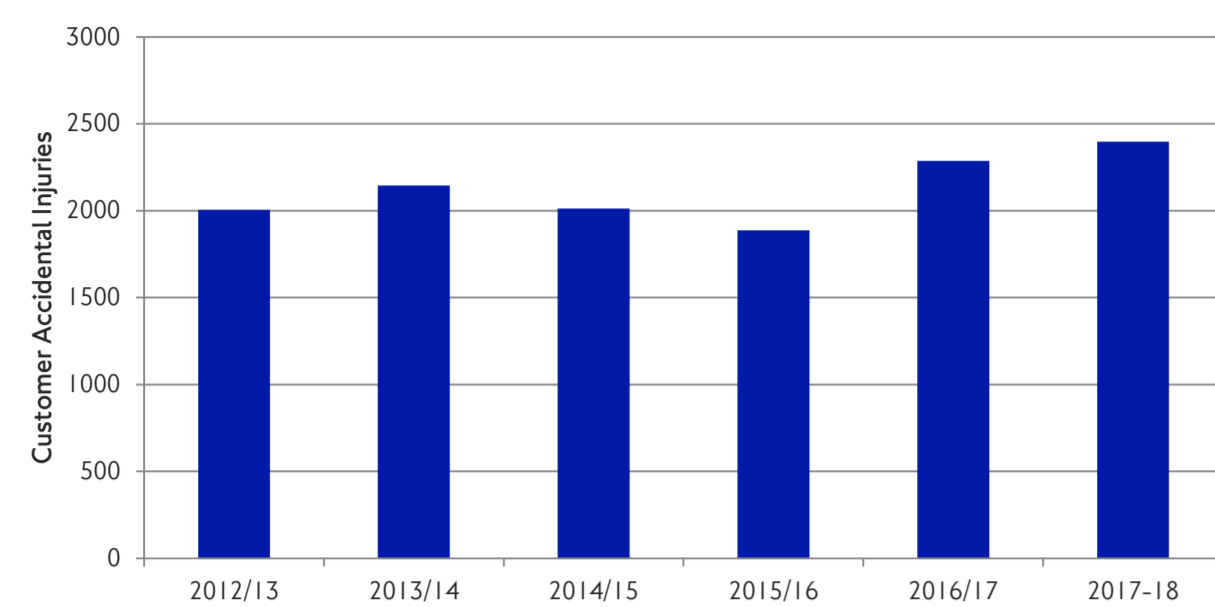
Contact Officer: Nigel Holness, Interim Managing Director, London Underground
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1. The Challenge

Customer Accidents on Escalators & Stairs - Figures

Customer Accidental Physical Injuries on Stairs and Escalators



The number of customer accidental injuries increased in 2016/17 by 16% compared to the previous year, and by 8% compared to 2014/15. This led to a stretch target being set for 2017/18 to reduce customer accidental injuries by 17%, to return accident levels to 2015/16 figures. Customer injuries on escalators & stairs has followed the same trend. Whilst there was a reduction in total customer accidental injuries last year compared to the previous year, those on stairs and escalators increased slightly.

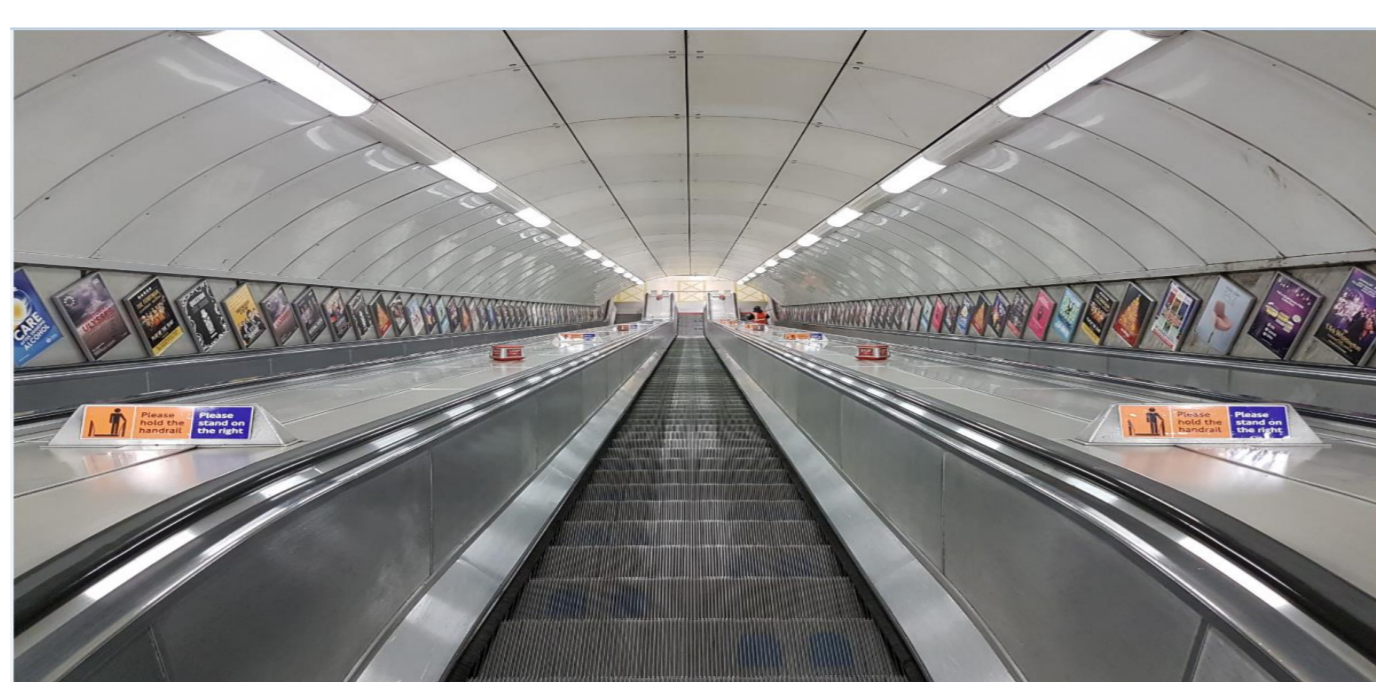
Customer safety initiatives to date have focused on the areas of highest risk (i.e. Platform Train Interface (PTI)) or on the location where the majority of accidents occur (escalators, stairs and PTI). Particular focus has been given to escalator safety with 'Escalator Excellence' being introduced, rolled out to the top 20 stations with plans to rollout further over the coming year.

Local station improvement activities continue to be focused on their priorities. Last year's scorecard focused on reducing customer accidents which resulted in the greatest harm. This is also true of the 2018/19 scorecard.

We did not achieve our goal of reducing customer accidental injuries by 17% last year. However, in the last 6 months of the year, we saw a declining trend in customer accidental injuries. This year's performance continued on this trend until period 6 where we saw an increase which brought us both over target and performing worse than last year. Therefore focus remains on this area.

With the LU Senior Manager Transformation in September 2017, the challenge has been to set up aligned action plans across Line Operations and Customer Services that ensure safety remains a priority and focus on safety is consistently maintained.

Where do accidents on escalators happen?



Over the last 6 years approximately 40% of customer accidents have occurred on escalators. In 2018/19 to date this has increased slightly as 47% of customer accidents have occurred on escalators. There is a broadly consistent trend over the past five years on where the highest numbers of accidents on escalators happen.

29% of all customer accidents occur at the top 20 escalator stations; most accidents happen on escalators for all lines (apart from the Bakerloo, C&H and District line which see a higher number of accidents on stairs)

Escalator	2012/13 (%)	2013/14 (%)	2014/15 (%)	2015/16 (%)	2016/17 (%)	2017/18 (%)	2018/19 (%) YTD
Escalator	40%	41%	39%	36%	39%	42%	47%

Change from 2016/17 to 2017/18

- Escalator accidents at the top 20 escalator stations increased by 3%

We have identified what Escalator Excellence looks like and this is being rolled out across the Network - it includes:

- Brilliant PAs
- Excellent staff engagement
- Escalator signage replaced with new 'Hold the Handrail' message
- Corporate posters displayed in suitable locations & on customer information boards where possible

Escalators	Number of accidents	% all esc accidents	% of all accidents
1 King's Cross St. Pancras	74	8.8%	4.1%
2 Waterloo	58	6.9%	3.2%
3 London Bridge	44	5.2%	2.5%
4 Victoria	33	3.9%	1.8%
5 Euston	28	3.3%	1.6%
6 Holborn	27	3.2%	1.5%
7 Bank & Monument	25	3.0%	1.4%
8 Heathrow Terminals 1,2,3	23	2.7%	1.3%
9 Liverpool Street	23	2.7%	1.3%
10 Green Park	22	2.6%	1.2%
11 Baker Street	20	2.4%	1.1%
12 Tottenham Court Road	20	2.4%	1.1%
13 Canary Wharf	19	2.3%	1.1%
14 Brixton	19	2.3%	1.1%
15 Warren Street	18	2.1%	1.0%
16 Tottenham Hale	16	1.9%	0.9%
17 Leicester Square	16	1.9%	0.9%
18 Oxford Circus	13	1.5%	0.7%
19 Notting Hill Gate	13	1.5%	0.7%
20 North Greenwich	13	1.5%	0.7%
TOTAL	524	62.5%	29.2%

*Table contains data for 2018/19



Where do accidents on stairs happen?



Over the last 6 years approximately 20% of customer accidents have happened on stairs. In 2018/19 to date this has decreased slightly to 16%. There is a broadly consistent trend over the past five years on where the highest numbers of accidents on stairs happen.

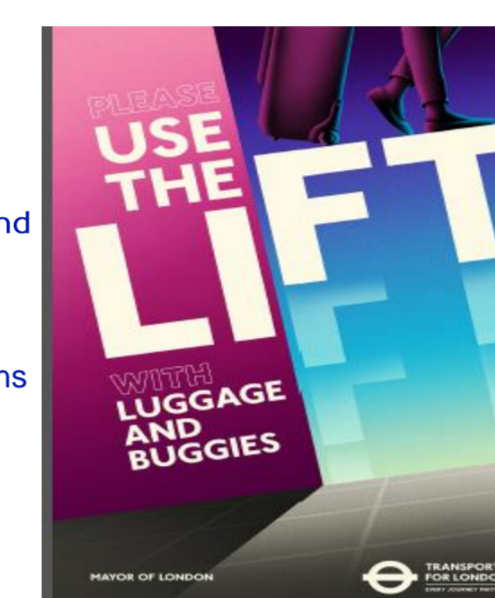
Stairs	2012/13 (%)	2013/14 (%)	2014/15 (%)	2015/16 (%)	2016/17 (%)	2017/18 (%)	2018/19 (%) YTD
Stairs	21%	19%	17%	19%	20%	22%	16%

Change from 2016/17 to 2017/18

- Stair accidents at the top 20 escalator stations increased by 18%

We have identified what Stair Excellence looks like and is being rolled out across the Network - it includes:

- Brilliant PAs
- Excellent staff engagement
- Corporate posters / vinyls displayed in suitable locations & on customer information boards where possible
- The asset - lighting, nosing stones, treads, handrails
- Effective wet weather arrangements in place



Stairs	Number of accidents	% all stair accidents	% of all accidents
1 Baker Street	14	4.8%	0.8%
2 Victoria	12	4.1%	0.7%
3 Green Park	10	3.4%	0.6%
4 Waterloo	9	3.1%	0.5%
5 Bank & Monument	8	2.7%	0.4%
6 Piccadilly Circus	8	2.7%	0.4%
7 Oxford Circus	8	2.7%	0.4%
8 Wembley Park	7	2.4%	0.4%
9 Holborn	6	2.1%	0.3%
10 Epping	6	2.1%	0.3%
11 Aldgate	6	2.1%	0.3%
12 Seven Sisters	5	1.7%	0.3%
13 Pimlico	4	1.4%	0.2%
14 Notting Hill Gate	4	1.4%	0.2%
15 Kings Cross St. Pancras	4	1.4%	0.2%
16 Liverpool Street	4	1.4%	0.2%
17 Charing Cross	3	1.0%	0.2%
18 High Street Kensington	3	1.0%	0.2%
19 Willesden Green	3	1.0%	0.2%
20 Embankment	3	1.0%	0.2%
21 Turnham Green	3	1.0%	0.2%
22 London Bridge	3	1.0%	0.2%
23 Wembley Central	3	1.0%	0.2%
24 Manor House	3	1.0%	0.2%
25 Harrow & Wealdstone	3	1.0%	0.2%
26 Marble Arch	3	1.0%	0.2%
27 South Kensington	3	1.0%	0.2%
28 North Acton	3	1.0%	0.2%
29 Turnpike Lane	3	1.0%	0.2%
30 Bond Street	3	1.0%	0.2%
31 Eastcote	3	1.0%	0.2%
32 Brixton	3	1.0%	0.2%
33 Leicester Square	3	1.0%	0.2%
34 Paddington	3	1.0%	0.2%
35 Leytonstone	3	1.0%	0.2%
36 Hainault	3	1.0%	0.2%
TOTAL	175	60.1%	9.8%

Reason for accidents?

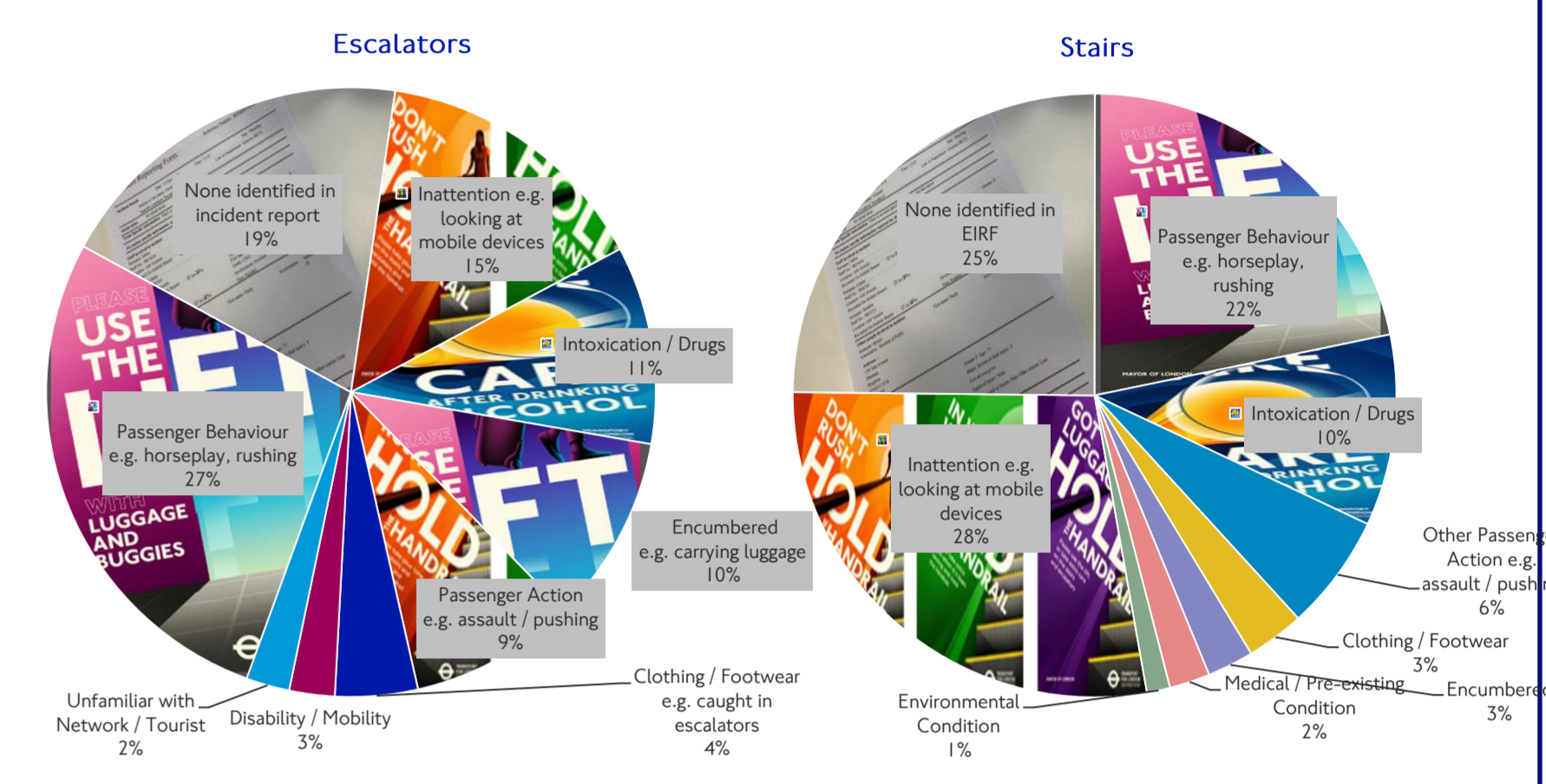
The number of common themes in customer accidental injuries on the Underground continues to be:

- Behaviour including rushing, horseplay
- Being intoxicated (particularly the more serious accidents and fatalities) has been an influencing factor in a significant proportion of all customer fatalities.
- Distraction / inattention - being on the phone, hand held devices, etc. This has played an increasing factor in customer accidents since the introduction of wi-fi on the Underground in 2011
- A high proportion of incidents also involve elderly customers
- Being encumbered, particularly with luggage, but also shopping bags, coffee, food, etc. (particularly on escalators)

Congestion/crowding is not a contributory factor in accidents.

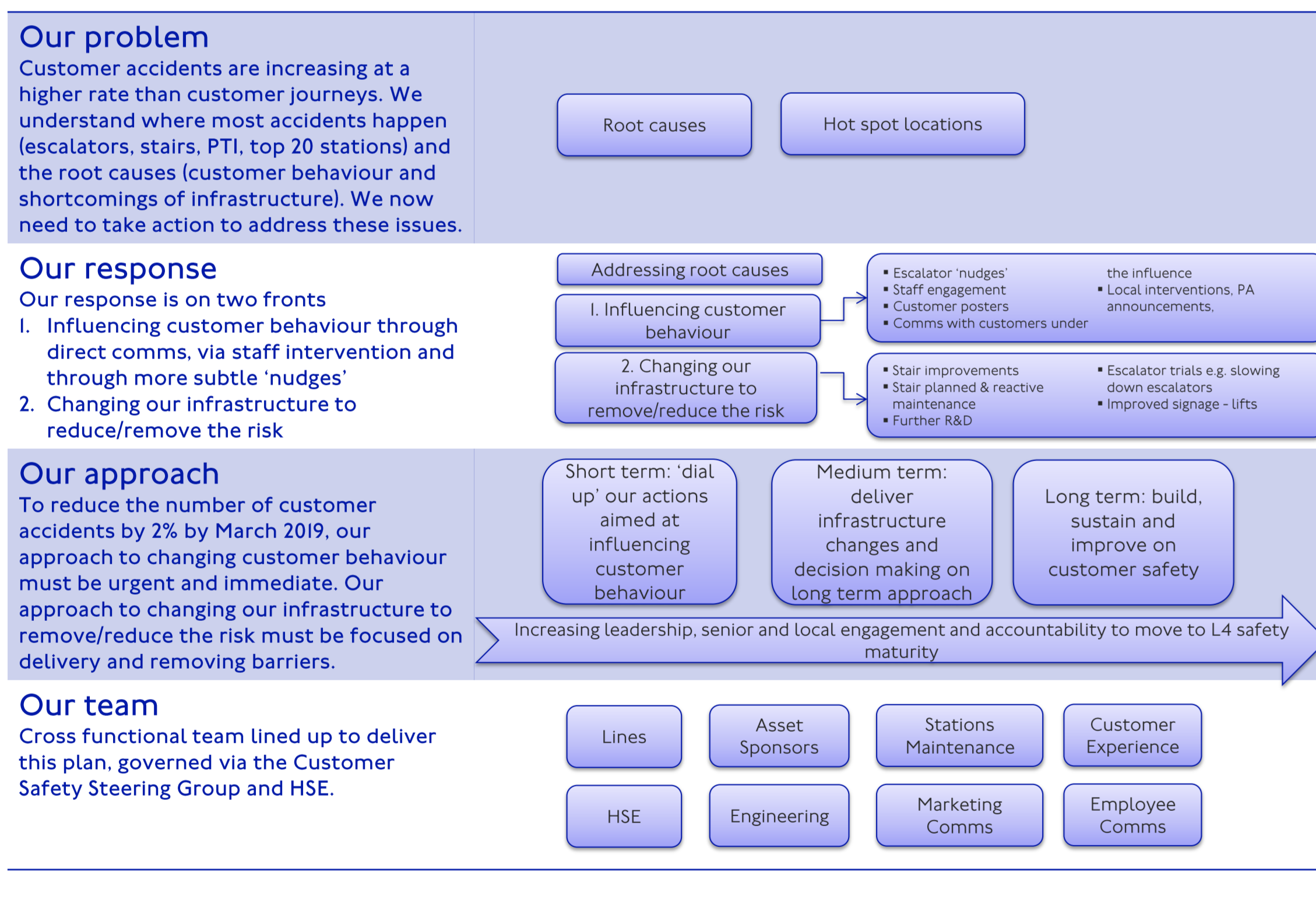
There are also a number of incidents that have been reported with no contributory factors identified. Work is ongoing to improve incident reporting.

The majority of accidents happen in the off peak, and there does not appear to be a strong seasonal trend, apart from an increase in summer months.



2. Our Approach

To reduce the number of customer accidents on the Underground, we need to change our approach to this issue.



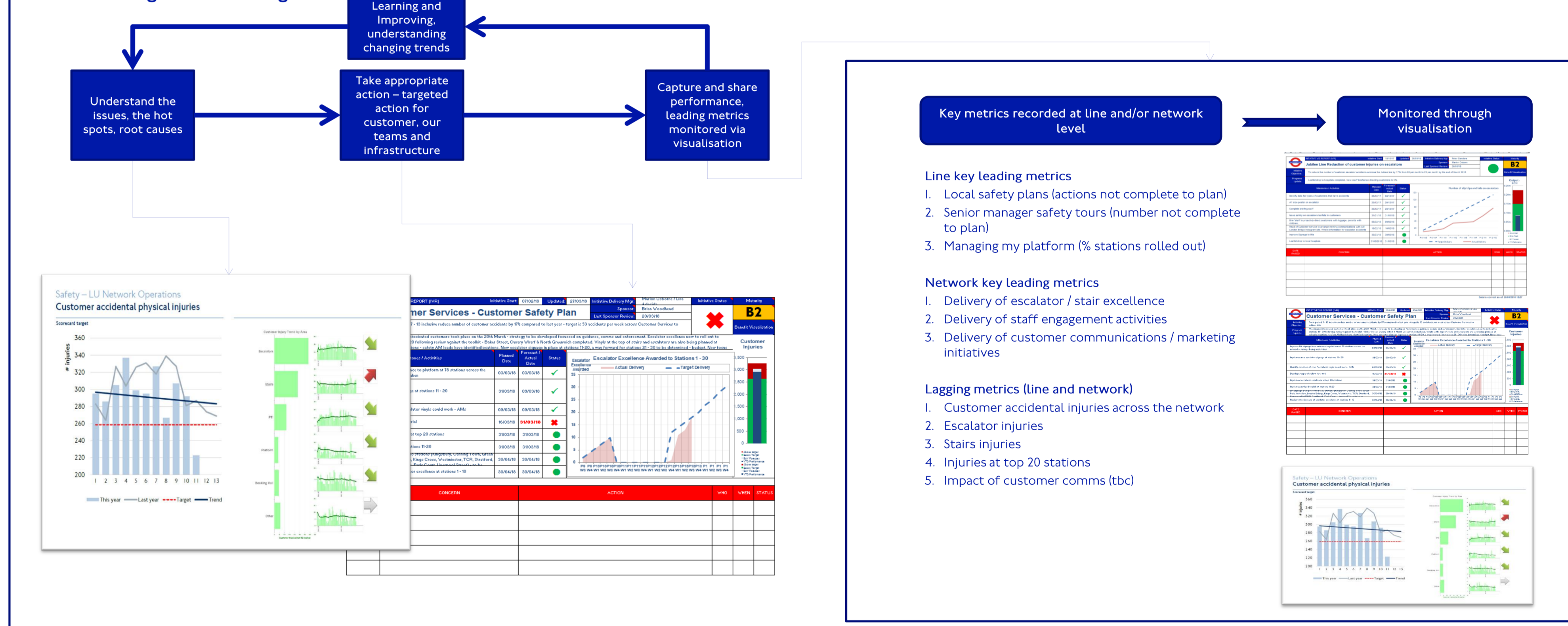
3. Leadership, accountability and local engagement

We have started by building on work done to date - reducing customer risk by focusing on the areas of highest risk (Platform Train Interface) and location where the majority of accidents happen (escalators). Our approach now involves

- Ambition:** ambition across LU to make a step change in performance, not to tolerate the average of 10.7 customer injuries every day
- Urgency and focus to achieve that ambition:** a move from BAU on customer safety to a culture where we place relentless focus on delivering short/medium and long term plans with more urgency.
- Leadership:** the senior team leading their teams to demonstrate commitment and to deliver.
- Network Plan:** An LU plan which focuses on the network wide issues and plans focusing on our significant risks.
- Local Safety Improvement Plans:** focused on the most important issues for each line and the top 20 stations
- Understanding that we have a shared goal:** individuals and teams across LU and TfL have a role to play in achieving the 2% goal.
- Accountability:** clearer accountability by the lines for customer safety on their lines, expecting and demanding the best from their colleagues across LU.

4. Our Framework

The network plan will set the direction, pace and provide the tools. Delivery will be via a range of teams across LU and TfL, all of who understand their role in contributing to the 2% target.



5.1 Our Escalator Plan

Deliverables	To be completed by:	Progress:
Intoxication as a contributory factor to a significant number of customer accidental injuries Develop and implement a strategy focussed at reducing customer accidents where intoxication is a contributory factor	16 th November 2018	◆
Lift Signage Review lift signage position at top 20 stations to identify improvements to encourage vulnerable customers to use lifts rather than escalators	30 th December 2018	◆
Staff Intervention Top 5 stations to review Business Needs Schematics / staff positioning to effectively engage with customers at hotspot locations	30 th November 2018	◆
Escalator Improvement Refresh of all stations with escalator initiatives and build into maintenance plan (Passenger Positional Guides, red escalator combs at top / bottom of escalators)	31 st December 2018	◆
Escalator Excellence Heads of Customer Services to process confirm escalator excellence remains in place at top 20 (26/10/18), new escalator signage in place at escalator stations 30+ (30/11/18), plan in place to rollout escalator excellence to stations 30+ (30/12/18)	30 th December 2018	◆
Initiative Review Quarterly review of stations with initiatives in place, where escalator excellence is in place and feedback any themes / learning back into the plans	31 st March 2019	◆

5.2 Our Stairs Plan

Deliverables	To be completed by:	Progress:
Intoxication as a contributory factor to a significant number of customer accidental injuries Develop and implement a strategy focussed at reducing customer accidents where intoxication is a contributory factor	16 th November 2018	◆
Stair Excellence Roll out 'stair excellence' to 2 stations per line (total 18 stations) & issue certificates (16/11/18), process confirm stair excellence is being maintained (31/12/18). To be followed by a further 2 stations per line (31/12/18)	31 st December 2018	◆
Stairs improvement 2018/19 stair improvement works to be undertaken at: Bond Street, Paddington, Oxford Circus, West Acton, Charing Cross, East Acton, Leyton, Monument & Waterloo.	31 st March 2019	◆
Impact of wet weather on stair incidents Review significance of wet weather on customer accidents on stairs and develop specific actions and a roll out plan to address any significant issues	30 th January 2019	◆

5.3 Our Communication/Engagement Plan

Deliverables	To be completed by:	Progress:
Social Media Safety Trivia To launch as part of wider safety messaging to customers for increased engagement	30 th November 2018	◆
Escalator Safety advertising Digital messages on or near to escalators (Nov 18 - Dec 18) and includes: DEPs - digitally animated escalator panels using hold the handrail messaging, LCDs - digital ads featuring localised messaging for wet weather, rushing & carrying luggage	31 st December 2018	◆
Bespoke Vinyls Implement at high impact stations (Baker Street, Embankment, Liverpool Street, Leicester Square)	16 th November 2018	◆
Localised support for hotspot stations Provision of posters (available now), branded Oyster wallets with safety messages (available now), PA announcements made by the LAS (from January 19), print ready vinyls (30/12/18)	14 th January 2019	◆

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Date: 5 December 2018

Item: Human Resources Quarterly Report

1 Purpose

- 1.1 To provide the Safety, Sustainability and Human Resources Panel with an update on key Human Resources (HR) led activities and performance for Q2 2018/19.

2 Recommendation

- 2.1 **The Panel is asked to note the report.**

3 Background

- 3.1 This is the second HR Quarterly Report to the Safety, Sustainability and Human Resources Panel for the 2018/19 reporting year.
- 3.2 The HR Quarterly Report focuses on providing the Panel with an update on a number of key HR activities underway, the TfL Scorecard, recruitment and Diversity & Inclusion interventions.

Appendices:

Appendix 1: HR Quarterly Report

List of Background Papers:

None

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HR Quarterly Report

2018/19 Quarter 2 Update

HR Quarterly Report – 2018/19 Quarter 2 Update

Executive Summary

This Human Resources (HR) Quarterly Report provides an overview of key developments that have taken place in the second quarter of the 2018/19 financial year, covering between 24 June 2018 and the 15 September 2018 inclusive.

During this quarter we are behind target for our all workforce and senior manager representativeness measures. There is a significant improvement from Q1 for our all workforce representativeness measure and is again moving in the right direction. The opposite trend has occurred with our senior workforce representativeness measure, where an above target performance in Q1 has seen a reduction in Q2.

Our recruitment activity continues to deliver diverse appointments across the organisation. In the first two quarters, of all those recruited, internally and externally, 44.4 per cent were BAME, and 36.9 per cent were female. However, low turnover coupled with lower levels of external recruitment is reducing our ability to improve the representativeness of our employees at the pace desired.

The annual Viewpoint Survey took place in October. The responses received are being processed and a full update on the outcomes, including the Total Engagement and Inclusivity Indices will be provided in the Q3 HR Quarterly Report.

Report Content

Section 1 – TfL Scorecard – People Measures

- Workforce Representativeness
- Total Engagement
- Inclusion Index

Section 2 – Our People

- Recruitment
- Leavers
- Promotions

Section 3 – Workforce Composition

- Permanent Headcount
- Workforce composition by area
- Non-Permanent Labour

Section 1: TfL Scorecard – People Measures

This section provides the Panel with an update on the four People measures included on the TfL Scorecard, along with key activities which support the delivery of our Scorecard targets.

Workforce Representativeness

Total Workforce Representativeness

The Workforce Representativeness measures are an indicator of how closely TfL employees reflect the economically active London population.

Revised Scorecard Baseline

The revision to the baseline for the scorecard target follows the completion of an exercise to extract representativeness data from TfL's recruitment database (Taleo) and the addition of this to the existing data held on SAP. Following this we have a greater breadth of data to inform us of the current baseline for this measure.

This exercise has shown that our senior leadership is slightly less diverse than we thought, but we still have some gaps in our data. We will be undertaking a full disclosure campaign that has been informed by Behavioural Science to reduce that gap. However we are holding ourselves to the original, challenging target because of the importance to us of improving our diversity to better reflect the city we serve.

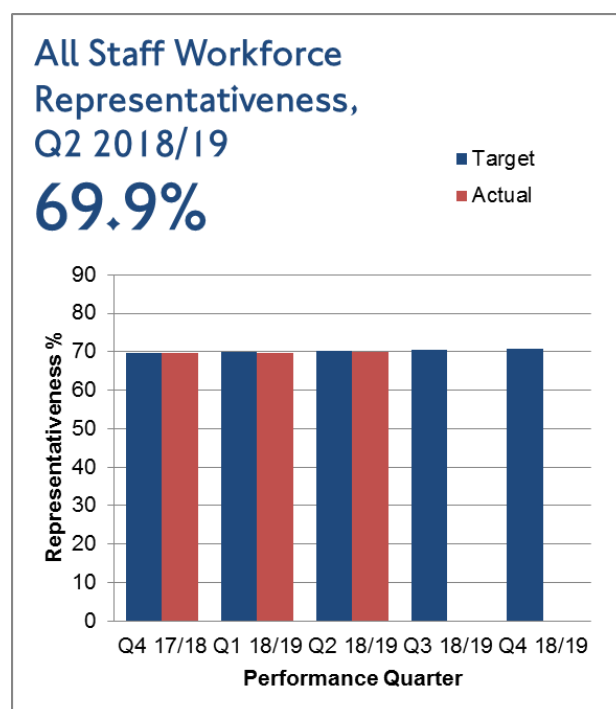
Of the two representativeness measures included in the scorecard, the senior manager

measure has changed, from a score of 44.7 per cent at the end of 2017/18, to a new baseline of 41.5 per cent for the start of 2018/19. The target for 2018/19 of 46.6 per cent still remains.

All Workforce Representativeness

The Scorecard target for Total Workforce Representativeness in 2018/19 is 70.7 per cent. In Q2 we fell short of the target of 70.2 per cent, with a total workforce representativeness score of 69.9 per cent.

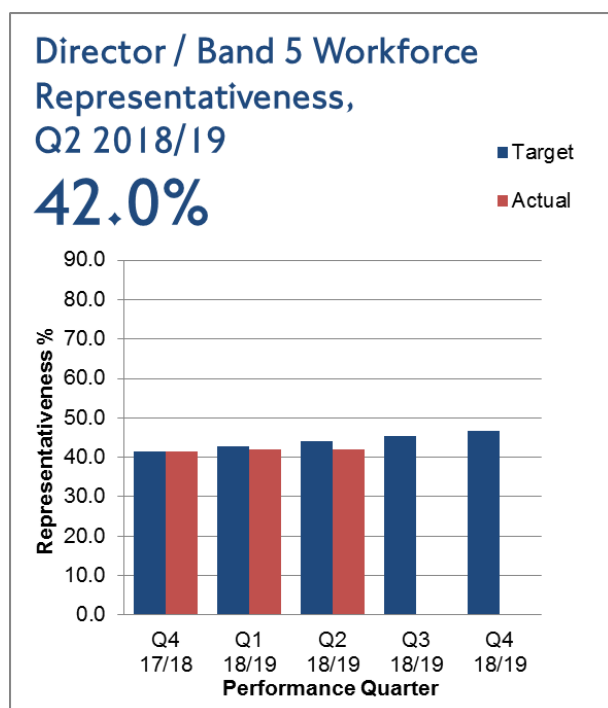
This is an improvement on our Q1 performance and sees our all workforce representativeness measure resume an upwards trend. We will continue to increase our representativeness further, with activities outlined in the following section contributing towards this.



Director / Band 5 Workforce Representativeness, Q2 2017/18

For the Director and Band 5 workforce representativeness scorecard measure, the 2018/19 target is 46.6 per cent. At the end of 2017/18 our scorecard outcome was 41.6 per cent.

In Q2 our senior manager representativeness reduced from 42.1 per cent to 42 per cent. This puts us behind our quarterly target of 44.1 per cent.



Total Engagement

The Total Engagement scorecard measure is derived from the annual Viewpoint employee survey. The 2018/19 target for Total Engagement is 57 per cent, a 1 per cent increase on last year's score.

The 2018 Viewpoint Survey has recently concluded, with employees able to submit responses to the survey between 9 and 26

October. Preliminary results will be available in mid-December, with a further update returning to the SS&HR Panel in the Q3 update of this report.

As part of this year's campaign to increase the response rates to the survey, we ran a competition where employees shared photos of themselves holding up the 'I've had my say' Viewpoint slogan, with the winner being the photo taken in the most unusual or iconic location.



Inclusion Index

The Inclusion Index is another measure from the annual Viewpoint survey. This is a new measure on the TfL Scorecard for 2018/19 and measures how inclusive our employees feel we are as an organisation.

A summary of key events and activities to help improve our inclusive culture at TfL are provided in the following section.

Dashboards

On 19 July we published our Q1 D&I Dashboards to almost 60 of our senior managers. The D&I Team have been meeting with managers and teams across the organisation to ensure that the dashboards are understood and are driving the right actions. The dashboards are supported by a One Stop Shop of resources to help local teams drive action.

Increasing Disclosure Rates

One of the key barriers to delivering targeted and effective D&I interventions is the number of our employees who disclose information on their protected characteristics.

A behavioural science focused campaign is being used to find the best way to increase disclosure rates.

During Q2 we contacted a sample of 2,000 employees with partial or incomplete D&I information, using four different messages asking them to add information on their protected characteristics.

The trial has had a promising response, of the 2,000 employees contacted the following number of changes have been made:

- Sexual orientation: 600
- Faith/Region: 609
- Ethnicity: 318
- Disability: 597

This data will help to give us a much more accurate view of our diversity across the organisation. It is important to note however that initial analysis suggests that most of these changes are to record a 'majority' status which may impact the total workforce representativeness scorecard measure. This measure had previously discounted those with no D&I information attached.

Anonymised CVs

Following on from the successful trials carried out in Q1, automatic software which anonymises CVs will be rolled out across the organisation. These trials which automatically anonymise information on a candidates protected characteristics resulted in 47 per cent of hires coming from a BAME background, and 32 per cent female, higher than the existing employee composition.

Secondments

During Q2, the London Underground (LU) Inclusive Operational Culture team conducted a review of secondment opportunities across LU, to identify how these were being advertised. Of the 125 secondments identified with Network Operations, 73 were recruited for using a confirmed open and transparent process. To ensure that all secondments are advertised and recruited for in a fair and transparent way, providing opportunities for all, an internal site is being developed to publish all secondments. This will promote the visibility of secondment opportunities.

Our Time

We became leading supporters and partners of the Our Time initiative, coordinated by the GLA. The initiative pairs high potential women with senior female and male employees from across the GLA family, for a minimum of six months and helps to develop the necessary diverse pipeline of well-prepared, confident and ambitious women that is essential to achieving gender parity in the workplace.

Pay Gap

We are working in partnership with the Behavioural Insights Team, supported by the Government Equalities Office and Harvard University. The partnership will use TfL data and the BIT's behavioural science expertise to understand how we can best tackle our gender pay gap

Dementia Friends

We have committed to become a dementia friendly organisation alongside the Mayor of London, and as part of that commitment, we have developed an internal training course to help our employees develop their knowledge and understanding of how to support someone living with dementia.

This will not only help with employees in front line roles, but will also enhance understanding of Dementia, and the impact that this will have on colleagues who may have caring responsibilities due to Alzheimers.



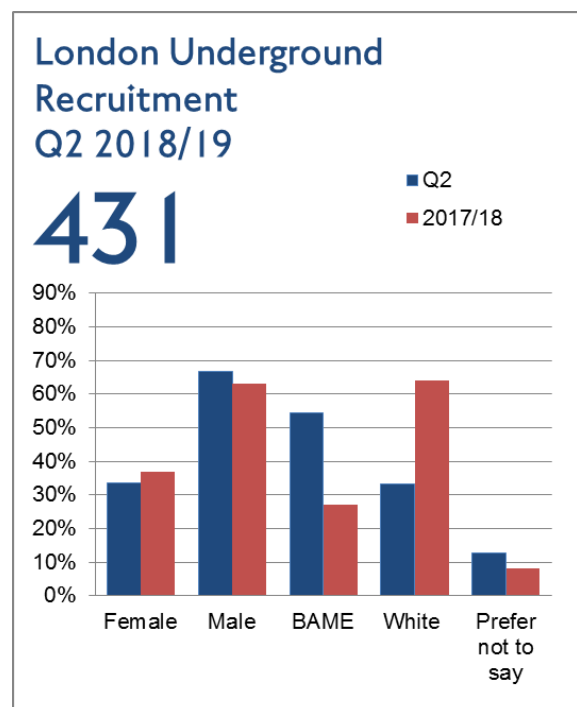
Section 2: Our People

Ongoing Recruitment Activity

The following section shows the composition of all recruitment by business area during Q2. This includes both internal and external recruitment, along with promotions and changes to roles within the same band/grade.

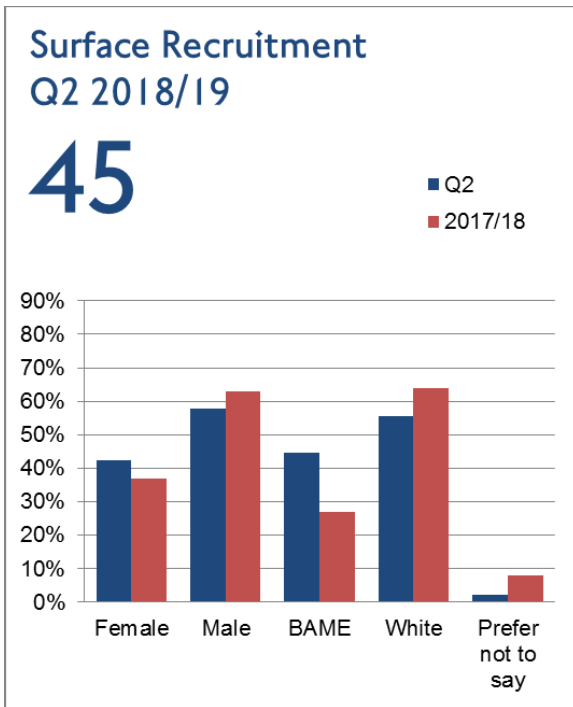
London Underground

In London Underground female and BAME recruitment is significantly higher than the average achieved in 2017/18. BAME recruitment was in excess of 54 per cent for Q2. Female recruitment was 33 per cent in Q2, this is slightly lower than the 37 per cent of LU recruitment which was female in 2017/18. This is still nearly double the existing 18 per cent of LU population that is female.



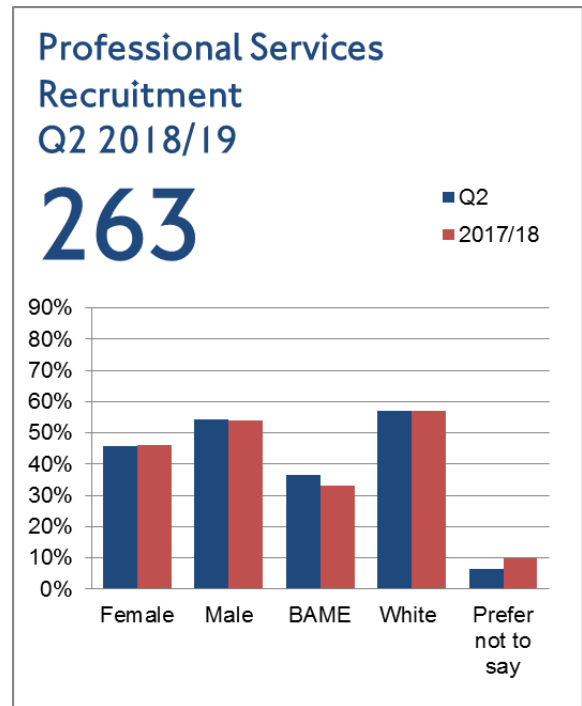
Surface Transport

Whilst the representativeness of those recruited in Q2 was higher than that in 2017/18, there were only 45 employees who started roles in Q2. This low level of recruitment continues from Q1, and is in part due to Transformation consultation that took place in Surface over the summer.



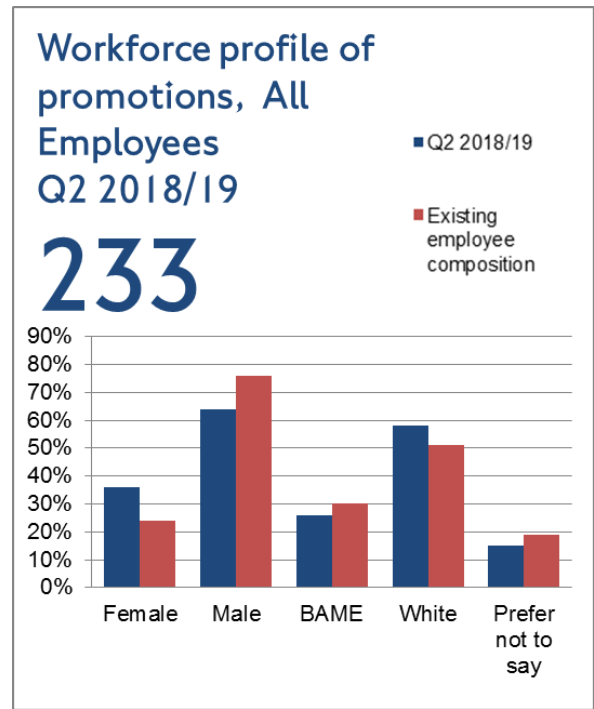
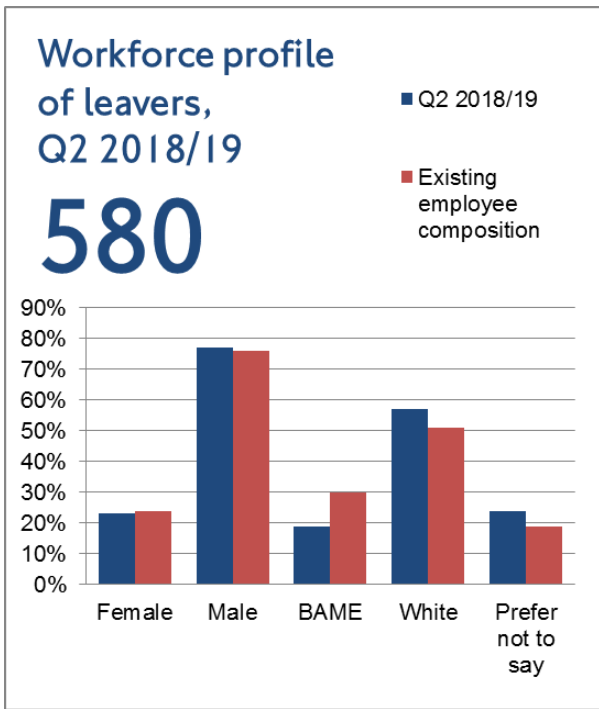
Professional Services

Recruitment in Professional Services again in Q2 was more reflective of London than other business areas. With 46 per cent of all hires being female and nearly 37 per cent of recruits identifying as BAME.



Leavers

In Q2 a total of 580 employees left the organisation, a turnover rate of 2.1 per cent. If combined with the turnover rate for Q1, the turnover rate to date for 2018/19 is 7.4 per cent. Whilst this low turnover rate can indicate job satisfaction and job security, it can also reduce the speed by which the organisation can change its representativeness.



In Q2 there were proportionally fewer BAME employees leaving the organisation than the existing employee composition, with 18 per cent of leavers coming from a BAME background, compared with over 30 per cent of the existing employee population.

Promotions

In Q2 a total of 233 employees were promoted. This is defined as a change in role from one pay band to the one above. This does not include lateral moves.

Of those promoted in Q2, 36 per cent were female which is significantly higher than the existing employee composition. Those who declared as BAME was slightly lower than the existing employee composition, with 27 per cent of those gaining promotion declaring as BAME, against 30 per cent.

Section 3: Workforce Composition

Permanent Headcount

Data extracted from the HR System (SAP) excludes Crossrail and other employees whose details have not yet transferred to SAP.

The following staff numbers represent both permanent TfL employees and temporary staff measured in full time equivalents (FTEs) which equate to one person working 35 hours per week.

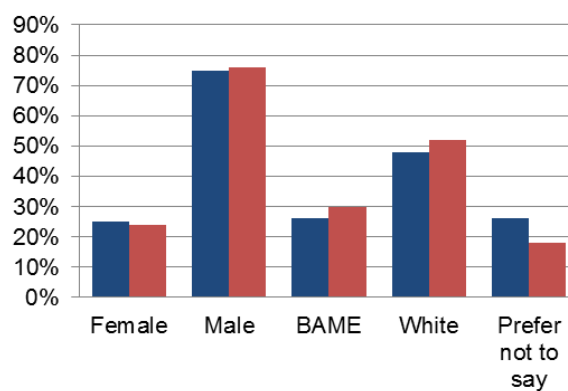
All TfL

Total FTEs on SAP decreased in Q2, from 27,449 at the end of Q1, to 27,177. This is down from 27,871 at the end of 2017/18, a 2.5 per cent decrease in total headcount since the start of the performance year.

Workforce profile for all TfL, Q2 2018/19

27,177

■ Q2 2017/18
■ Q2 2018/19

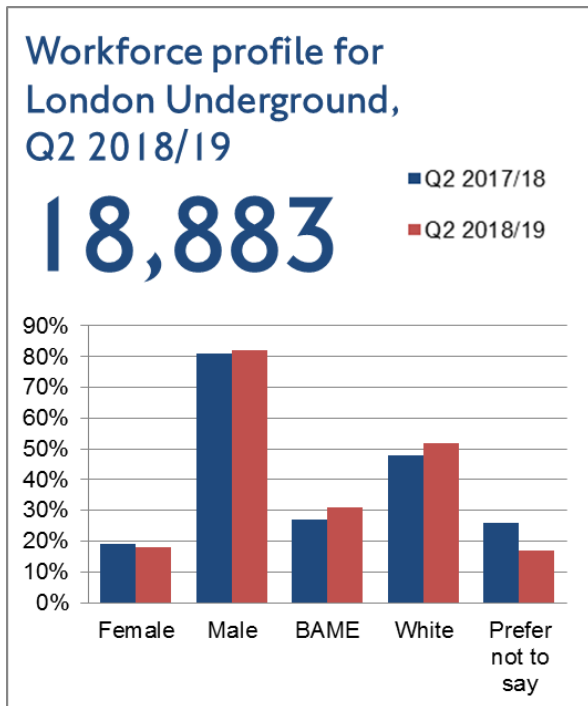


The proportion of employees who declare their ethnicity as BAME has increased over the past year, from 25.68 per cent at the end of Q2 2017/18, to 30.12 per cent in Q2 2018/19. This increase can be partly explained by the increase in employees declaring their ethnicity, and the subsequent drop in those not declaring from 26.19 per cent, to 17.87 per cent.

The proportion of female employees fell from 24.66 per cent at the end of Q2 2017/18 to 23.73 per cent.

London Underground

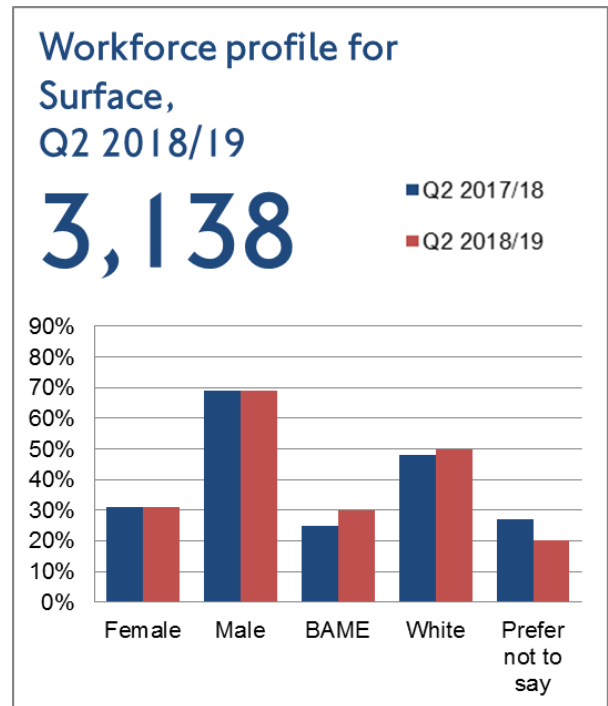
The total FTEs in London Underground have decreased from 19,436 at the end of 2017/18 to 18,883 in Q2. Diversity information for London Underground mirrored that of TfL, with the proportion of employees declaring as BAME increasing from 26.67 at the end of Q2 2017/18, to 30.91 per cent. Those preferring not to declare their ethnicity fell from 25.66 per cent to 16.95 per cent over the same period.



The proportion of LU employees that are female decreased from 18.67 per cent at the end of Q2 2017/18, to 17.87 per cent. Female recruitment in Q2 stood at 33.41 per cent, despite this the rate of turnover in Q2 was only 2 per cent, reducing the rate at which recruitment can change the wider employee population.

Surface Transport

Total FTEs in Surface have fallen from 3,465 at the end of 2017/18, to 3,138 at the end of Q2. This is a 10 per cent reduction in total headcount in the year to date.



The proportion of BAME employees has increased from 24.68 per cent at the end of Q2 2017/18, to 29.90 per cent, continuing the upward trend seen in 2017/18. The proportion of female employees declined slightly, from 31.11 per cent at the end of Q2 2017/18, to 31.04 per cent this year.

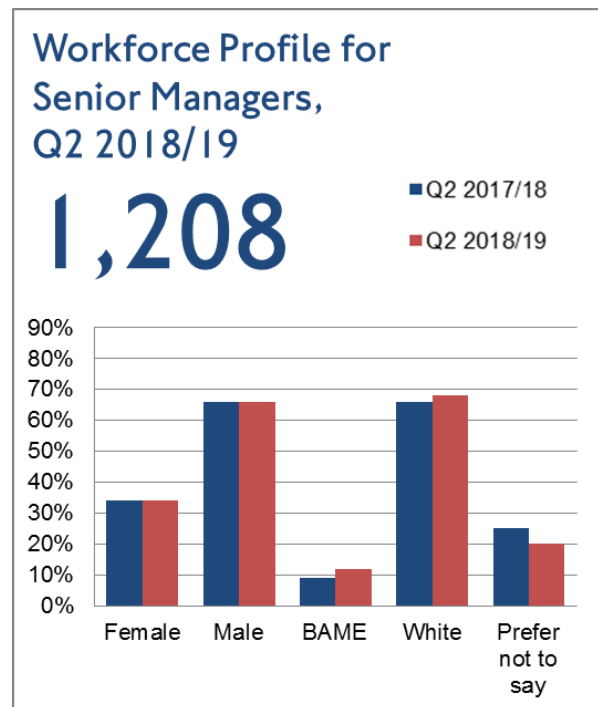
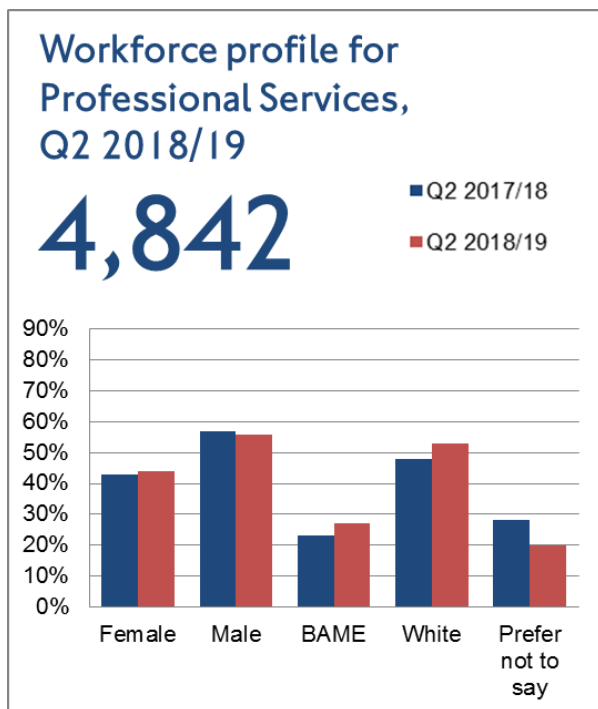
Professional Services

Professional Services comprises functions including General Counsel, Finance, Human Resources, Commercial and Customers, Communication and Technology where services are provided on a shared basis across all delivery divisions.

Total FTEs in Professional Services decreased from 5,002 at the end of 2017/18, to 4,842 in Q2. There was an increase in the proportion of female employees over the past year, increasing from 43.18 per cent at the end of Q2 2017/18, to 43.88 per cent.

The proportion of BAME employees in Professional Services also increased from

22.81 per cent at the end of Q2 2017/18 to 27.04 per cent in Q2 this year.



TfL Senior Manager Staff Composition

The total number of senior managers has decreased from 1,229 in Q1, to 1,208 at the end of Q2 2018/19.

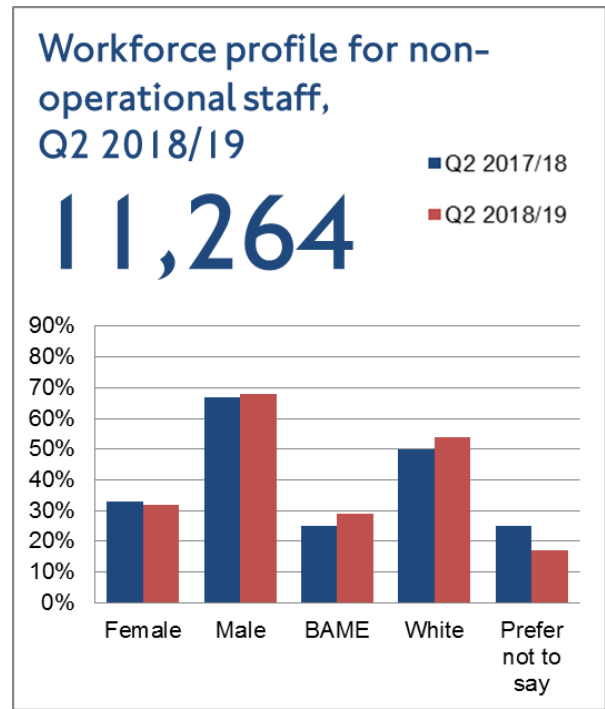
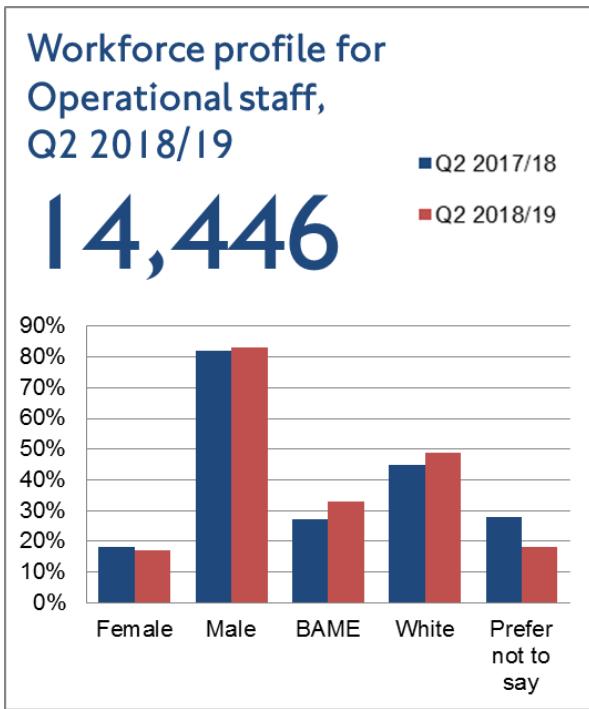
The proportion of female senior managers has increased from 29.37 per cent at the end of Q1 to 30.38 per cent in Q2. This is up from 26.35 per cent at the end of Q2 2017/18.

The proportion of our senior managers declaring as BAME has increased over the previous year, from 9.62 per cent in Q2 2017/18, to 12.25 per cent in Q2 2018/19.

TfL Operational Staff Composition

The number of operational employees decreased slightly in the previous quarter, from 14,514 to 14,446. Of these, the proportion of female operational employees increased slightly from 16.83 per cent to 16.86 per cent.

The proportion of BAME operational employees increased significantly, from 32.48 per cent, to 32.71 per cent.



TfL Non-Operational Staff Composition

The number of non operational employees has decreased from 11,353 in Q1 to 11,264 in Q2.

The proportion of BAME non operational employees has increased from 27.79 per cent to 28.73 per cent in Q2. The proportion of female non operational employees has decreased slightly in Q2, from 32.38 per cent to 31.83 per cent.

Non Permanent Labour

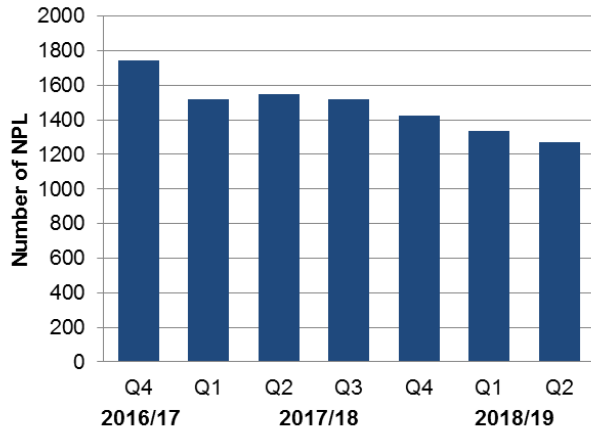
Non Permanent Labour (NPL) are defined as temporary staff engaged to complete project work or short term assignments.

The use of NPL has continued to decrease in Q2, from 1,337 to 1,271. This represents a 21 per cent reduction in the use of NPL since Q2 2017/18.

Total NPL use has decreased from 3,095 at the start of Q1 2016/17. This has reduced the cost of NPL across TfL by over £3.4m per week.

Total Number of NPL Q2 2018/19

1,271



It is important that we continue to make use of the flexibility offered by NPL, particularly through this time of change and temporary peaks in demand, e.g. in recruitment resulting from Transformation. It is equally important that we do not close off our ability to hire talent in scarce skills areas.

We will look to balance the cost and use of NPL with our ongoing commitment to our customers and our key role in keeping London moving and growing.



Date: 5 December 2018

Item: Graduate and Apprentice Update

1 Purpose

- 1.1 To provide the Safety, Sustainability and Human Resources Panel with an update on Graduate and Apprenticeship programmes and action being taken to improve diversity within these groups.

2 Recommendation

- 2.1 **The Panel is asked to note the report.**

3 Apprenticeships Overview

- 3.1 In 2016, the Executive Committee endorsed our apprenticeship strategy which determined a number of commitments in planning and delivering our apprenticeships;
- (a) We will work towards delivering the Enterprise Act target;
 - (b) We will optimise the use of the Apprenticeship Levy;
 - (c) We will create apprenticeships that meet the business skill needs;
 - (d) We will use apprenticeships to up-skill existing employees;
 - (e) We will use apprenticeships to work towards a more diverse workforce;
 - (f) We will shape the industry direction on apprenticeships through active membership of the Strategic Apprenticeship Taskforce (STAT)¹;
 - (g) We will continue our involvement in Apprenticeship Trailblazers²;
 - (h) We will collaborate with organisations in our supply chain;
 - (i) We will not compromise quality for quantity; and
 - (j) We will not make decisions on apprenticeships which may have a negative impact on our financial situation.

¹ STAT was launched in in 2016 as part of the Transport Infrastructure Skills Strategy with the aims to address the skills shortages in the Transport sector. Chaired by Mike Brown it consists of bodies across the sector with the aim to create 30,000 new apprenticeship starts by 2020 whilst increasing diversity with 20% of technical and engineering apprenticeship starts being female and a 20% increase in BAME apprenticeships starts.

² A Trailblazer is made up of a group of employers who work together to design new apprenticeship standards for occupations within their sectors as approved by the Institute of Apprenticeships (DfE) for development.

- 3.2 We currently pay c £7.5m per year into the apprenticeship levy, in 2018/19 we are forecast to use approximately 28 per cent of the annual levy pot to fund apprentices.
- 3.3 We have 430 apprentices on scheme across 26 diverse schemes from level 2-L6.
- 3.4 We are subject to the 2.3 per cent public sector Enterprise Act target. Our first report declared 221 apprenticeship starts in 2017/18 against a target of 660 apprenticeship starts (36 per cent of the target)

4 Apprenticeship Diversity

- 4.1 To date in financial year 2018/19 there has been 170 new apprenticeships started. Of these 143 are new hires and 27 internal apprenticeships. Diversity of new hires has plateaued this year (please see attached slides for further detail and context):
- (a) 20 per cent of new apprenticeship hires are female, rising to 24 per cent inclusive of internal apprenticeship starts.
 - (b) 34 per cent of new hires are BAME reducing slightly to 33 per cent inclusive of internal apprenticeship starts.
- 4.2 Analysis has shown that females are more likely to apply for higher level apprenticeship STEM schemes with 31 per cent of hires at Levels 4 to 6 being female.
- 4.3 Females perform better in the selection process and therefore increasing female attraction rates to our apprenticeships is key to increasing the gender diversity of our apprentices.
- 4.4 BAME applicants are more likely to apply but less likely to complete the online selection and assessment exercises.
- 4.5 As such further changes to the recruitment process are being implemented for the 2019 campaign:
- (a) Fast tracking and holding back roles for candidates that are identified through work experience and pre employment programmes such as T-Level³ work placements and Route into Work⁴.
 - (b) Attraction – launching a new website and attraction material using role models, enabling easier navigation, providing additional application support and inspirational content.

- ³ T-Levels are a new technical qualification to be launched in 2019/20, to provide parity between technical and academic education post 16. These require work experience placements of between 45 and 60 days in duration with external employers, such as TfL,
- ⁴ Route in to Work (RiW) is a tailored pre-employment programme delivered by the London Transport Museum. Candidates are referred by organisations such as job centre+, Peabody and the Princes Trust referral partners will provide candidates ensuring sessions are gender balanced and ethnically diverse

- (c) Assessment – further focus on assessing strengths and motivation. Remove and simplify existing testing where candidates, especially BAME, typically fall away. Gather evidence in alternative ways such as work trials.
- 4.6 There are plans to expand access to apprenticeships for existing staff to upskill and develop skills through technical, professional and leadership and management apprenticeships. This will help increase numbers and support the diversity agenda.

5 Apprenticeship Challenges

- 5.1 Some challenges experienced in delivering against our Apprenticeship Strategy have included:
- (a) Relevant apprenticeship standards not yet in place, despite progress by the Institute for Apprenticeships this year.
 - (b) Complexity around the funding rules and levy system mean additional and duplicate administration for compliance.
 - (c) We are currently undertaking the largest ever overhaul of our organisation to provide the most efficient and cost effective transport service for Londoners, which involves reducing management layers and bureaucracy. This has meant that it has not always been appropriate to introduce new apprenticeships.
 - (d) The quality of training providers in the market to deliver apprenticeships is very mixed and there are particular challenges with delivering quality railway engineering apprenticeships – there is a concern this issue could be compounded as funding caps are being reviewed and in many cases reduced.
- 5.2 We continue to influence our industry agenda, and government policy on apprenticeships and education, and actively engage with our supply chain. Activity includes:
- (a) Active involvement in 23 Trailblazers and continue to participate in relevant standards to ensure the right skills are prioritised and developed for the sector.
 - (b) We are starting to get involved in trailblazers for T-levels and will be piloting work placements for the existing NVQ qualifications for digital and engineering programmes this academic year.
 - (c) As an active member of the Strategic Transport Apprenticeship Taskforce (STAT) we are attending a roundtable event with Anne Milton MP and Minister of State at the Department for Education in November to present an industry collective view on Apprenticeships.
 - (d) STAT is also working with a range of industry partners to develop pilots for shared or brokered apprenticeships to facilitate the take up of apprentices in the supply chain below Tier 1. TfL will be leading on the shared apprenticeship pilot for the London and South East areas with the aim to commence a pilot in the New Year.

- (e) We are a member of the Diversity Champion Network, this is an employer led group chaired by MP Helen Grant. The employers in the group are leading the way in promoting and attracting diversity in apprenticeships.

6 Graduate programmes

- 6.1 Graduate recruitment was paused in 2018 with the exception of 14 hires for those that had previously completed summer or year placements within TfL.
- 6.2 Graduate recruitment has relaunched for 2019 with 31 roles advertised. These are primarily in Engineering, Commercial and Technology where it is beneficial to have a pipeline of entry level talent into the business.
- 6.3 The following changes to attraction and assessment have been introduced to help improve diversity in 2019:
 - (a) Review of targeted universities – those with highest female participation in engineering in London
 - (b) Bright Networks partnership – targeted emails to females for all roles.
 - (c) Female only employability sessions for engineers at select universities.
 - (d) Website review – for 2019 launch.
 - (e) Assessment review of selection materials.

Appendices:

Appendix 1 - Apprentice and Graduate Diversity Presentation

List of Background Papers:

None

Contact Officer: Staynton Brown, Director of Diversity, Inclusion and Talent
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Contact Officer: Tricia Wright, Chief People Officer
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Graduate and apprentice recruitment update

Proposed new approaches to ensure a more diverse and representative talent pipeline for our Graduate and Apprentice Schemes



Context

- Recent improvements in the diversity of our Graduate and Apprentice Schemes has plateaued in 2018.
- The Commissioner has made it clear he wants to see a 50/50 gender split for future cohorts.
- The following slides provide information on the barriers and bottlenecks that have prevented us from achieving this to date, and proposed actions we are seeking to implement which will help us achieve greater gender diversity going forward.

Action required

1

The SS&HR Panel are asked to note these proposed interventions

Note



Diversity in STEM long term sustainable change

Addressing diversity challenges, specifically gender in STEM, takes place within a broader societal context in London and the UK

Gender stereotypes begin to form at age 5-6	Gender
Key ages Girls turn away from STEM at 14 and 17	
Girls more likely to pursue lower level apprenticeships in stereotypical fields which are lower paid	

Social mobility - education	Low-income children are less likely to do well when they start school
	Children in care, those with special educational needs (SEN), and children from low-income white and black ethnic groups, are less likely to do well at school
	Girls, black pupils and Muslims face greater barriers in turning school performance into careers

Long term sustainable change requires action from

Play influence (toys)	Media	Parents / Carers	Educators	Industry
Government policy				
Mayoral policy				



Graduate and Apprentice Recruitment Trends

	2016 Hires	2017 Hires	2018 Hires	2019 Demand (Predicted)
Graduates	56	38	14	31
Female	48%	24%	14%	N/A
BAME	16%	16%	50%	N/A
Apprentices	143	177	162	160
Female	15%	21%	20%	N/A
BAME	31%	35%	34%	N/A



Apprentice Recruitment 2018

	Total applications	% female applicants	% female hires	% BAME applicants	% BAME hires
Overall	10,615	15.2%	20.3%	57.8%	35.7%
Level 3	3422	7.8%	8.0%	60.9%	33.3%
Level 4-6	7193	23.5%	31.3%	57.0%	37.3%

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Females more likely to apply for L4-6 schemes	Females perform better than males in process	Attraction is the main focus with females	BAME applicants more likely to apply but less likely to complete exercises	Radical action needed for 50:50 male: female hires
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Our Response

- Identify groups of high potential candidates which are more representative of London
- Identify and remove barriers for these individuals, recognising that a one size fits all may disadvantage certain groups
- Radically rethink our approach to attraction, assessment and selection
- Creating sustainable change over the next 1-3 years



Proposals - Apprentices

1 - Fast Track & Holding back roles

Route in to Work / Pre-apprenticeships

Vacancies held back for those Not in Employment, Education or Training / barriers into work

- Route in to Work (RiW) is a tailored pre-employment programme delivered by the London Transport Museum
- Candidates are referred by organisations such as job centre+, Peabody and the Princes Trust
- Referral partners will provide candidates ensuring sessions are gender balanced and ethnically diverse
- Half of apprenticeships at level 3 with a demand of 4 or more vacancies will be held back for RiW.
- Candidates complete tailored RiW with assessment day on final day to be offered a role.

Innovate work experience and mentoring

Young people fast tracked to assessment centre

- Winners and finalists from Innovate TfL in association with Cleshar schools challenge who complete work experience offered fast track to assessment centre



2 - Attraction & Assessments

Attraction

Website redesign for January 2019

- Easy navigation, support on selecting correct scheme, role models, confidence and support to apply
- Greater presence of current and ex apprentices describing their experience - image heavy and inspirational content

Assessments

Focus only on essential qualities (potential and motivation) :

- Remove and simplify existing testing to ensure better testing of potential, removing unintended barriers
- Online tests to assess only strengths and motivation at video interview stage
- Gather evidence in alternative ways such as Route in to Work, work trials etc



3 - Integration

Insight Sessions

Alternative to work experience, targeting London girls schools and schools with high deprivation

- Scheme specific work experience to showcase apprenticeships and support candidates in choosing the most appropriate one
- Assessment preparation and support given to increase conversion to assessment centre
- Targeting girls schools and schools with high deprivation and working with external organisations for target demographics.
- Aim is for 50% of spaces at assessment centres to be filled by Insights attendees within three

Enterprise Advisors

Building sustainable relationships with target schools

- Enterprise Advisors are senior staff volunteering to work with careers leads in target schools (girls schools and schools with high deprivation)
- Create a sustainable careers plan for the school and embed TfL School skills activities to promote apprenticeships
- Key element of the Mayor's Skills for Londoners strategy



4 - Expanding

Steps Into Work

Increasing the programme and adapting assessments

- Expanding the cohort to 24 students (temporarily 36) in 2018/19
- Aligning to academic and apprentice recruitment calendar
- Assessing motivation and potential for apprenticeships via work trials

Work Experience

Increasing fair access to work experience and supporting Government led technical education reforms

- T-Level industrial placement pilot; government reform of the technical education system to include work experience for 16+ year olds studying technical qualifications
- Colleges provide students to TfL in construction and technology, we have specified gender balance and diverse ethnic students
- Innovate work experience increasing from 20 to 50 students, typically more diverse than our typical apprentice candidates



5 – Untapped talent

Upskilling through apprenticeships

Tapping in to all of our talent

- Providing opportunities for technical apprenticeships for operational staff and others looking for a career change
- Developing technical capability and talent through higher level and degree apprenticeships.
- Developing leadership and management capability through apprenticeships



Proposals - Graduates

Whilst driving improvements in the diversity of our apprentices takes primary focus due to the numbers involved, there are planned interventions to improve the diversity of our future graduates also.

Best practice from the apprentice interventions will also be applied to graduate recruitment where appropriate to do so.

Graduate diversity approach

- Review of targeted universities - those with highest female participation in engineering in London
- Bright Networks partnership- targeted emails to females for all roles.
- Female only employability sessions for engineers at select universities
- Website review - for 2019 launch
- Assessment review of selection materials



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Date: 5 December 2018

Item: Maximising Potential and Succession Planning

This paper will be considered in public

1 Purpose

- 1.1 This paper provides an introduction to our talent management framework; Maximising Potential, and its application to Succession Planning, Workforce Planning and Senior Appointments.
- 1.2 The paper also provides a review on the Diversity and Inclusion of senior talent and how we can improve this, using practical measures with tangible outputs.

2 Recommendation

- 2.1 **The Panel is asked to note the paper.**

3 Background

- 3.1 Maximising Potential gives us the framework, guidance and tools to better identify and mobilise our talent.
- 3.2 It enables our managers to not only identify existing talent within their teams, but also the steps required in order to develop potential talent.
- 3.3 We have started to use the identification of talent through Maximising Potential to inform succession planning, beginning with all Director roles. Using a methodology and approach that was approved by the HR Leadership Team in January 2018, the Executive Committee is identifying 'ready now', 'ready soon' and 'ready later' successors, looking up to five years ahead. The successors have demonstrated high performance, high potential and good behaviours and have expressed a desire to progress. These plans are mostly complete and will support us in having a more diverse and agile leadership team, help us to future proof our organisation, enable slicker filling of resource gaps, and improve development and engagement of our teams. Additionally, roles at Band 5 level and below identified as critical will be included in succession plans. Guidance is provided to demonstrate what is deemed a critical role.
- 3.4 By mid-year 2018/19, over 10,000 employees will have had the opportunity to participate in Maximising Potential. We will have a profile of our talent from Band 3 to Director level by 2020. This will enable us to build a more coherent picture of our succession pipeline. We are consistently using people identified as having high potential or are high performers – talent for internal applications.

- 3.5 We have launched automatic shortlisting to drive greater mobility of our talent across our organisation, this ensures individuals identified as high potential or high performance are guaranteed an interview. Talent information through Maximising Potential has been used to inform shortlists for executive recruitment; and diversity and inclusion talent analysis has informed positive action initiatives in areas of underrepresentation.
- 3.6 Our approach to future workforce planning has seen a high level skills segmentation being incorporated into our talent framework and succession planning methodology. This is creating a clearer picture across the business of where we have critical roles, and helps to build a picture of skills required now and in the future.
- 3.7 Our talent pool is gender and ethnically diverse and more proportionally representative of London. The largest pool of talented women and BAME employees currently exists at middle management level, indicating a diverse pipeline of talent. It is necessary to drive diversity through succession planning, and continuing and improving leadership development and talent activities such as our Leader Led Learning development programme, automatic shortlisting, the Our Time programme (Supporting Future Leaders) and cross-company mentoring programmes.
- 3.8 Our in-house Executive Recruitment team have demonstrated industry best practice in sourcing more diverse candidates for senior roles. For example, over the past 12 months, 50 per cent of senior appointments have been women.
- 3.9 In addition, our pay gap report for gender complies with the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017 and the Equality Act 2010 (Gender Pay Gap Information) Regulations 2017, whilst our ethnicity pay gap report meets with the additional reporting requested by the Mayor and is set out in the same format as for gender.

4 Planning Ahead

- 4.1 Further align our approach to talent management with our business priorities. Greater focus on how talent can be deployed to help us achieve our objectives and overcome challenges as well as to address individual development needs, building on areas where we are doing that successfully. We will use the business planning priorities to mobilise talent to help deliver the organisations most important priorities.
- 4.2 Ensure greater business led talent management. Senior managers are already engaged in the rollout of Maximising Potential, but we will ensure there are higher levels of consistency and engagement to ensure good quality conversations.
- 4.3 Greater visibility and mobility of our talent through developing Talent Boards. We will create focussed Talent Boards across the organisation to ensure we have a consistent view of and approach to managing and mobilising talent across the workforce.
- 4.4 Ensure we prioritise people with high potential and talent for more senior roles. We will continue to roll out automatic shortlisting, and Talent Boards will be able to identify high potential people suitable for more senior roles. Succession plans will also help to better manage our talent.

- 4.5 Enhance line Manager Capability. For talent conversations to be a success, line managers need to be able to have quality conversations with their team. We will continue to improve the quality of conversations through rolling out support and development for managers, and evaluating the impact of career conversations.

List of appendices to this report:

Appendix 1 – Talent and Succession Planning at TfL Presentation

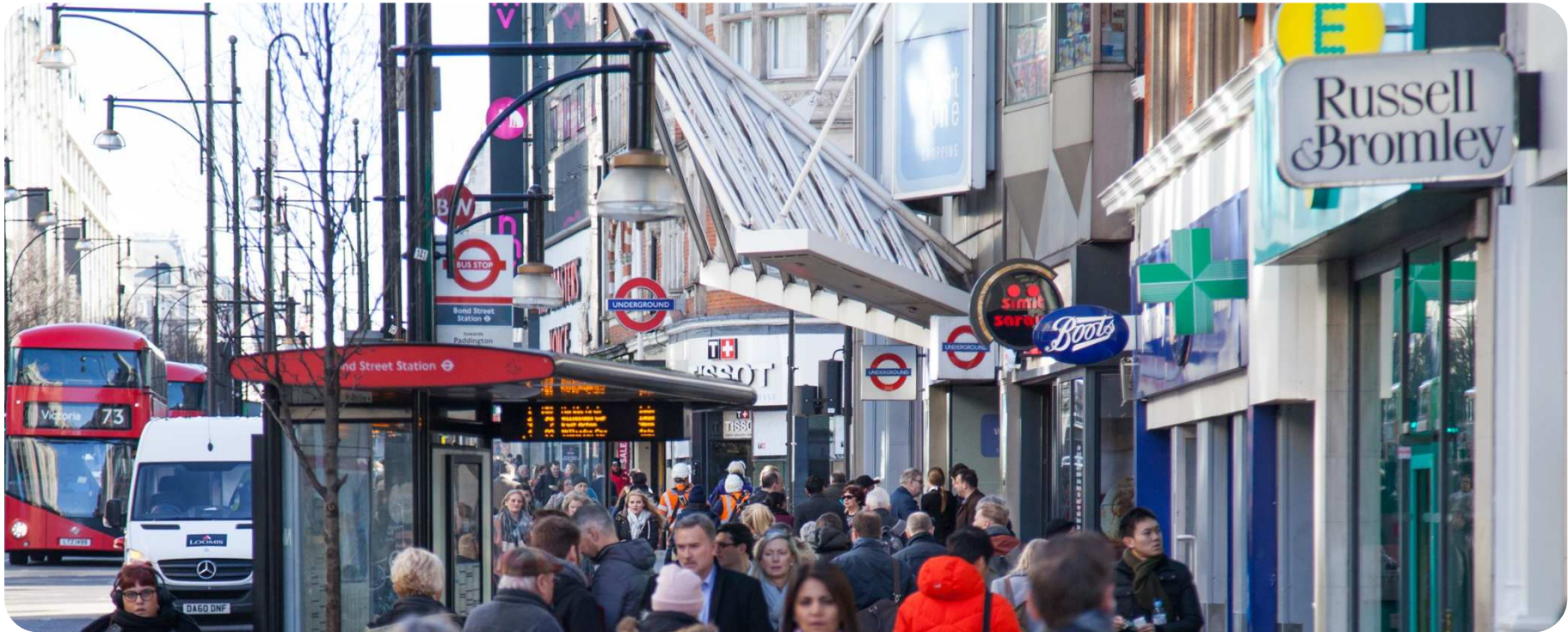
List of Background Papers:

None

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DECEMBER 2018

Maximising Potential and Succession Planning

Appendix 1





Talent Management



By mid-year 2018/19, over **10,000** employees at TfL will have had the opportunity to participate in Maximising potential

Maximising Potential is TfL's talent management framework for Band 3s (manager grades) and above



Career Conversations is a 'light' version of Maximising Potential for Band 1s and 2s (operational and support grades)



Succession Planning linked to Maximising Potential focuses on identifying and growing internal talent to fill business-critical roles now and in the future

All **Band 5s** and **Directors** calibrated by ExCo in April and June 2018, enabling the creation of succession and development plans

Of **1000** band 4s and above who've taken part in Maximising Potential in 2017/18, **30%** have been identified as talent /high potential

Of **1630** Band 3s who've taken part in Maximising Potential in 2017/18, **14%** of Band 3s have been identified as talent



Of **1340** Band 1s & 2s (and equivalent grades), **11%** were identified as talent



Diversity of talent

7% of talent at Band 2s and 1s are women and



32% of talent at Band 3 level are women and **23%** are BAME. A higher percentage of BAME employees at band 3 level have been identified as talent compared to senior management level

18% are BAME

36% of talent at Band 4 and above are women and **9%** are BAME



As a result of Maximising Potential

Identified talent via Maximising Potential has... been embedded in **LU people plan** filled **Director level vacancies** enabled movement of talent in LU via our **Automatic Shortlisting** pilot



informed the identification of **7** women selected for **Our Time**

Maximising Potential has also informed... **Positive Action Initiatives** in business areas where there is under representation

Local level **development activities** eg, 3 month secondments, work projects And Identified talent offered access to our leadership development programme

– **Leader Led Learning**

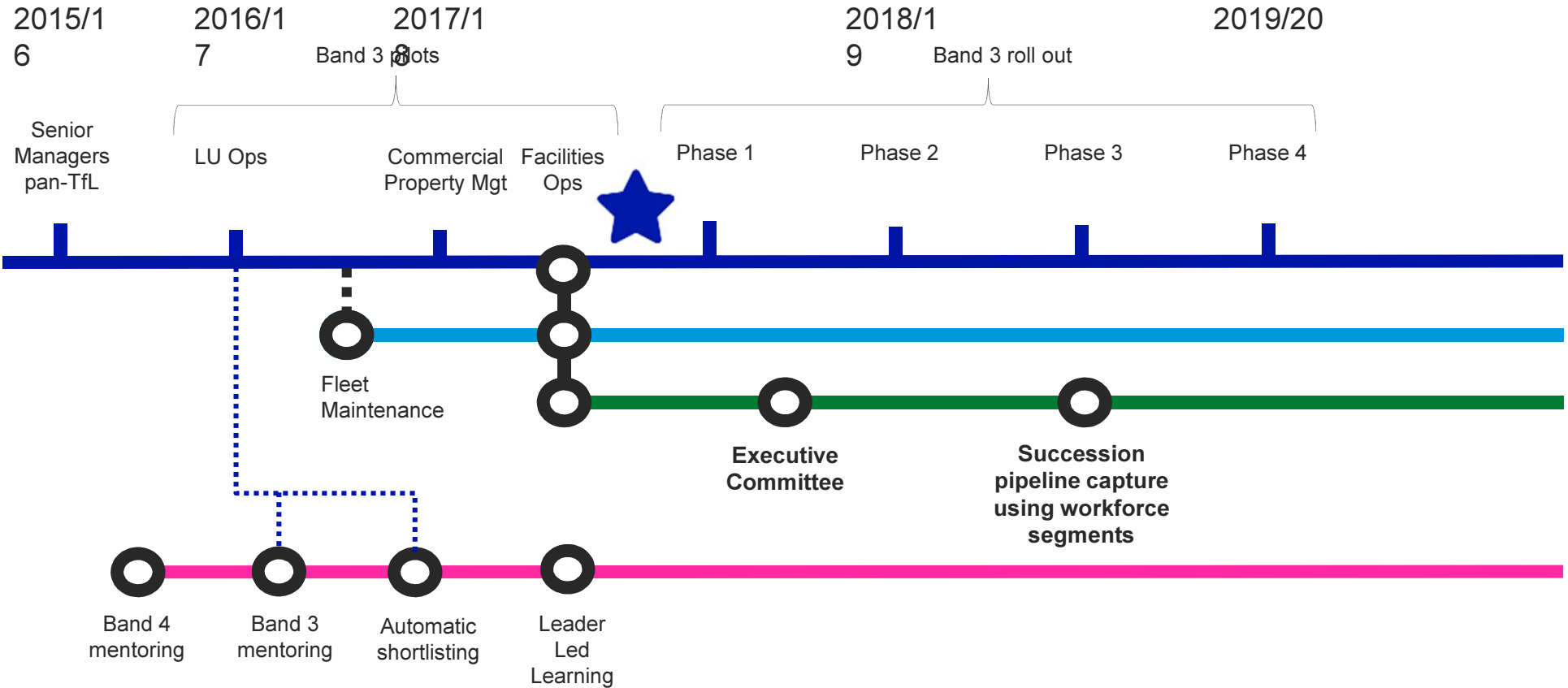


What next for talent?

Alignment of **business priorities to talent management activities**; Needs to be **business led with HR support**; Greater mobility of talent through **talent boards**; Actively **move** our talent across TfL; Build a **diverse talent pipeline**; **Self-entry**; provide **technical development** opportunities and Leverage our **values** through middle managers

TfL's Talent journey so far

- Maximising Potential
- Career Conversations
- Succession Planning
- Employee benefit
- Findings for paper



Where we are now (1/3)

Maximising Potential (MP) and Career Conversations (CC)

- For mid year 2018/19 we will have rolled out our talent framework to 62% (2674/4316) of the Band 3 population and 30% (6269 / 21097) to operational and support roles
- By April 2020 we will have a profile of our talent from Band 3 to Director level
- Relevant company and functional councils have been engaged since the launch in 2015 and have been either cautionary or fully supportive of the approach and rollout. As we continue to rollout, relevant councils will be engaged

Succession Planning

- Succession planning using workforce segments has moved out of the pilot phase into business wide roll out, following a successful implementation in Facilities Operations
- ExCo tasked each MD to identify successors for all their Director and critical Band 5 roles by the end of September 2018
- The LU People Plan has specified that succession plans are ready by end of October 2018 for business areas where MP and CC have taken place

Automatic Shortlisting

- Automatic Shortlisting was launched in 2017 to drive greater mobility of our talent across the organisation. As a direct result of this pilot 12 individuals identified as talent have been promoted or offered a lateral move in LU. Half of these were women and a third were BAME
- Following a review, it was agreed that the pilot continue in this area, addressing issues identified, prior to any further roll out



Where we are now (2/3)

Executive Recruitment

- Talent information from Maximising Potential has been used to inform shortlists for exec recruitment. This is currently being formalised following discussions at PLG. By using talent data in shortlisting, recent analysis carried out by the exec recruitment team has shown positive benefits for internal promotion of women where they have been received a talent classification. The team sees further potential to deliver positive outcomes as completion rates increase plus the inclusion of talent profiles

Workforce Planning

- For future workforce planning, the workforce is categorised into 41 segments according to the skills required for the role. This enables lateral and upward pan-TfL movement based on the right person for the role, rather than business area. This also allows for future planning in a continuing changing operating model
- Workforce segments have already been incorporated into our talent framework and succession planning methodology. This will enable us to look across the business at synergies in critical roles and build a picture of skill set based demand, as well as identify successors with transferable skills which has the potential to increase cross-functional internal mobility
- As future workforce planning is rolled out it will allow management to make informed decisions on an individual's development, identifying critical roles and establishing succession plans, as it looks at an areas future business requirements, not just short-term tactical moves
- Once we have all succession plans, analysis will be undertaken to ascertain common themes around critical roles and their aligned workforce segments. From this we'll be able to build a picture of skill set based demand
- Future workforce planning will recommend activities to best prepare the workforce for the future (up to 10 years), which will inform talent initiatives



Where we are now (3/3)

Diversity and Inclusion

- D&I talent analysis has informed positive action initiatives such as the cross company mentoring programmes with the GLA, Our Time. We'll work closely with the D&I team on how our recommendations can be implemented
- As our talent framework continues to be rolled out across the organisation, we will look for talent metrics to be included in the diversity dashboard

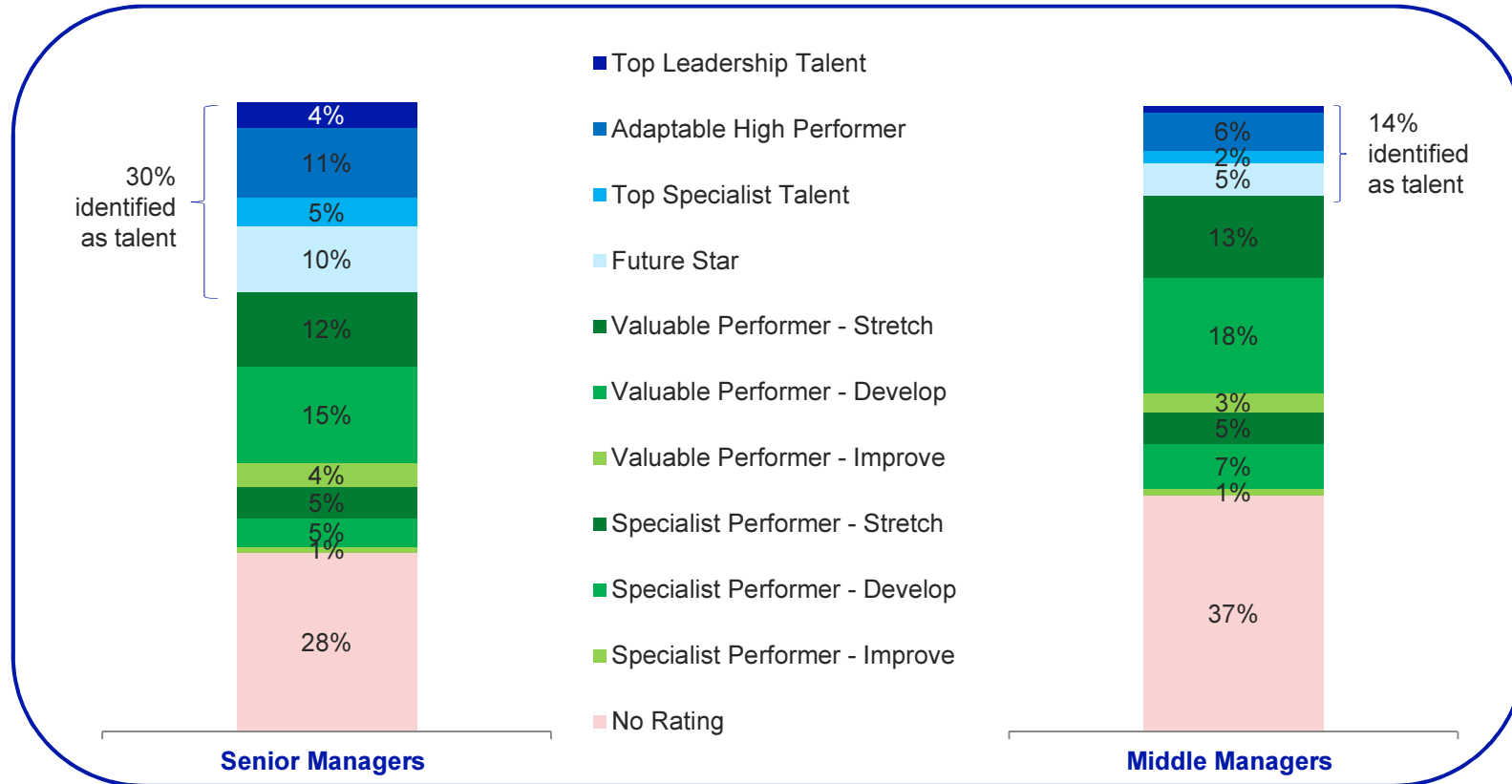
Talent Boards

- In pockets of the business, talent reviews are now a standing agenda item at senior leadership people meetings or local talent boards. We are working with the HR Delivery teams to expand this approach to all TfL areas
- Further work is required on the role of ExCo and PLG as to how we actively manage our talent.



Our Talent Profile

Senior Managers (Band 4s and above) and Middle Managers (Band 3s and equivalent grades)



External research indicates around 20% of a workforce would be identified as talent. It would be expected that at senior levels this would be higher and would incrementally decrease as you went down the organisation, which is reflected in our data



Our Talent Profile (1/2)

In our Band 3 to Director population, 20% of individuals have been identified as talent, indicating a strong talent pipeline, but we must encourage more lateral moves across TfL to develop breadth

Senior Managers (Band 4 and above)

- As shown on the graph on the previous slide, 30% of this population have been identified as talent/high potential - This is a fall from 39% in 2016. Similar to patterns seen in other organisations this is likely to be an outcome of the talent framework becoming more embedded, with line managers feeling more confident in identifying talent and comfortable challenging decisions at calibration, making the outcomes more robust
- With the majority of our talent being identified as Adaptable High Performers and Future Stars, it would suggest there is a healthy leadership pipeline ready in the next 1-2 years and possibly 2-5 years (Valuable Performer – Stretch) if developed successfully
- Of those identified as talent, 60% are looking for a vertical move, with 3% looking for a lateral move. Those with aspirations to progress may be seen as a future flight risk if opportunities do not arise internally
- The lack of interest in lateral moves is reflective of the culture within TfL. If we are to create greater mobility across TfL this attitude will need to change for employees, line managers and senior management



Our Talent Profile (2/2)

Middle Managers (Band 3)

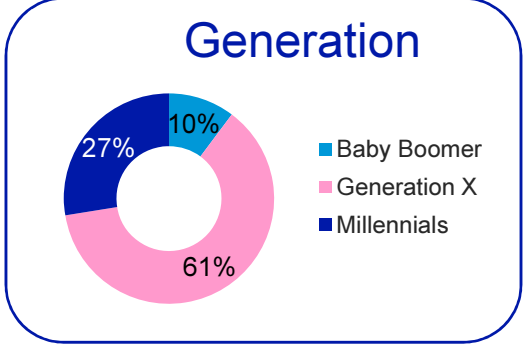
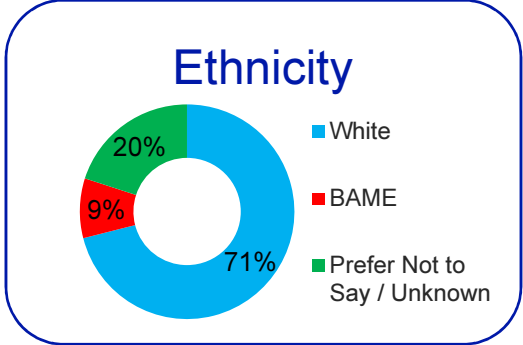
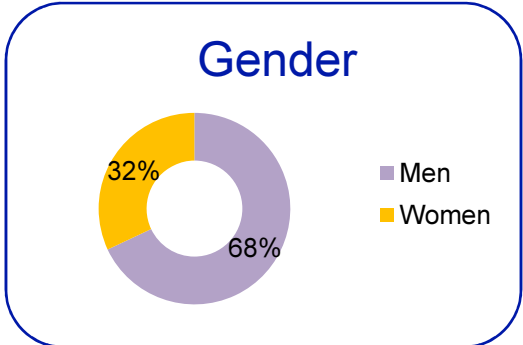
- There is a strong talent pipeline available at the middle management level with **14% of those calibrated identified as talent** (as shown on slide 7)
- 17%, whilst not currently identified as talent, have the capability to be stretched further as a specialist or people leader. This gives an indication of a longer term pipeline if this group are supported and developed
- Of those identified as talent, 77% are looking for a vertical move, with 5% looking for a lateral move. Similar to the senior manager population, **it will be important to think about progression and development opportunities for these individuals to ensure we do not lose our top talent**
- Only 14% of the overall middle manager population (from those who have been calibrated) have indicated they would be looking for a lateral move. Given there are fewer roles at the next level, low attrition levels and with TfL moving towards a more flatter structure it is **important that people look more seriously at lateral moves**



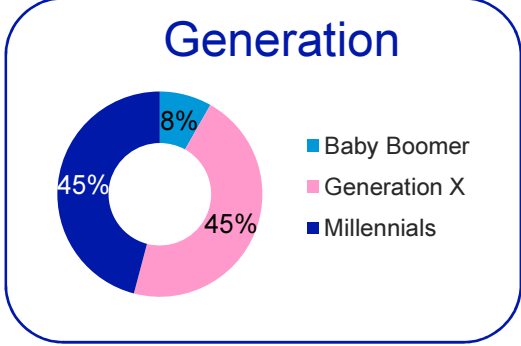
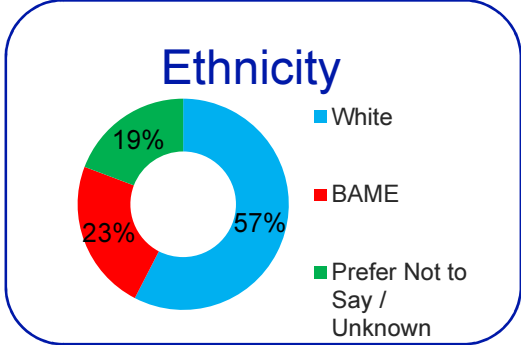
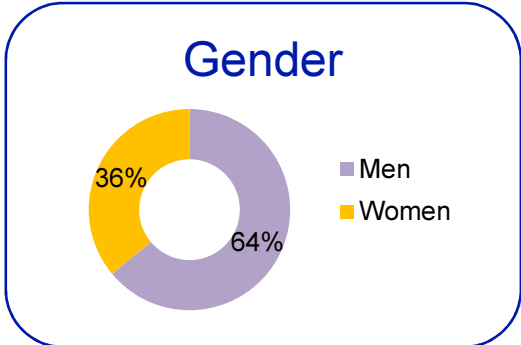
Diversity of our talent (1/3)

Baby boomers - up until 1960
 Generation X - 1961-1980
 Millennials - 1981-1999

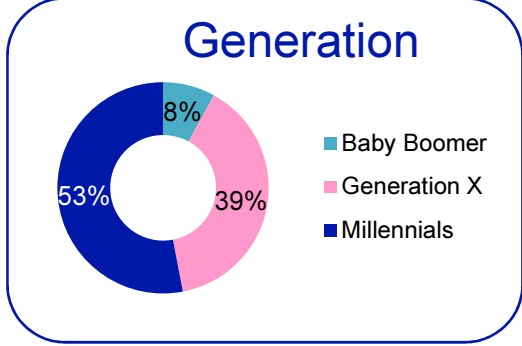
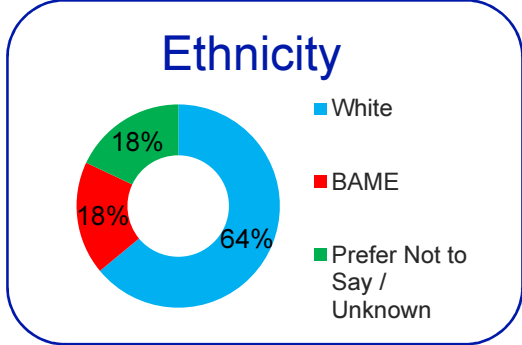
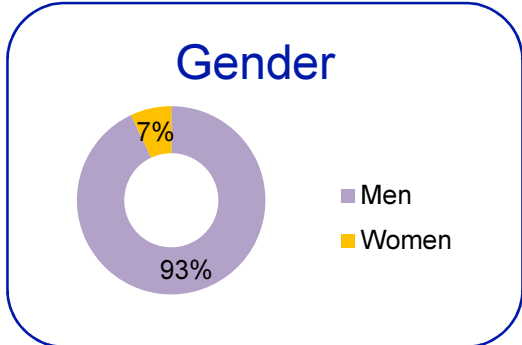
Senior Managers



Middle Managers



Operational and Support roles



Diversity of our talent (2/3)

TfL's talent pool is gender and ethnically diverse and proportionally representative of the areas included. The largest pool of talented women and BAME employees currently exists at middle management level, indicating there is a potential for a diverse senior manager pipeline that can be internally grown

Gender

- There is a proportional representation of talented women at each level of the organisation indicating **no gender bias in how the framework is being used**
- At senior and middle management a 1/3 of those identified as talent are women. This is a strong pipeline and is slightly higher than the overall % of women at this level of the organisation (29%)
- Whilst only 7% of women were identified as talent at the operational and support grades. This again is reflective of the workforce where career conversation was rolled out (10% were women). The lack of gender diversity at this level is mainly a reflection of the Fleet Maintenance population. As we continue to roll out career conversations at this level, in areas with a more balanced gender workforce, we hope to see a healthier female talent pipeline develop



Diversity of our talent (2/3)

Ethnicity

- At each level of the organisation a similar percentage of BAME employees were identified as talent compared to the overall workforce
- Whilst at senior management level women represent a 1/3 of the workforce, only 10% are BAME employees. **If we are in the future to have a more ethnically diverse senior team, we may need to focus on developing our BAME talent pool**

Generation

- **Between 8-10% of those identified as talent are at an age close to retirement.** Whilst this is a small population, it will be important to ensure we retain their knowledge and they are utilised to support the development of others
- **As we go down the organisation the % of millennials identified as talent grows incrementally. If developed successfully, these will be TfL's future leaders. However we need to recognise their ways of working are different and this needs to be reflected in how we develop this group**



13 Analysis of senior level internal hires and job applications (Jan 2017 – May 2018)

Data of Hires:

Overview of all internal senior appointments (Band 4, Band 5 & Director) from Jan 2017 – May 2018, including break down by Maximising Potential rating

Promotional moves


Talent Category	Women	Men
Total Hires	13	16
Talent/High Potential	69% (9)	38% (6)
Valuable/Specialist	8% (1)	19% (3)
Not Calibrated / No Data	23% (3)	44% (7)


Lateral moves


Talent Category	Women	Men
Total Hires	7	7
Talent/High Potential	71% (5)	43% (3)
Valuable/specialist	0%	29% (2)
Not Calibrated / No Data	29% (2)	29% (2)


Observations:


Success stories and points to note from the application data for senior hires during this period.

- 

A review of maximising potential movements for Band 4s + shows that, **where women have a rating, Maximising Potential strongly supports their movement** – c70% of all female promotional and lateral moves were talent/high potential
- 

However, the **largest population of male promotions were uncalibrated applicants**. This suggests that a lack of rating may give an advantage to male applicants
- 

Regardless of a visible talent rating or categorisation, **women are leaning in and making almost as many applications as men**
- 

Currently we have a good pipeline of female and BAME future leadership talent with **13 Future Stars making applications converting to 7 hires**. These moves highlight the value of “stretch” promotions to increase diversity at senior level
- 

Only 30% of hires were cross-functional. This highlights that there remains a preference for technical and functional skills. More work needs to be done to increase visibility and broad mobility of talent



Using talent data in Executive Recruitment

1. Verify talent: screen internal applications using talent data and prioritise talent/high potential

Case study: Heads of Sponsorship, Surface

- Two newly created Band 5 Head of Sponsorship roles in Surface advertised via internal job board
- 14 applications from internal candidates with matching and transferrable skills from across TfL
- Maximising potential data used to create shortlist of 6 talent/high potential (2 x Adaptable High Performer and 4 x Future Star)
- Two Band 4 women rated as Future Stars hired into roles

Effectiveness

- ✓ Talent data has been applied to all roles informally and manually since its launch. **54% of hires are talent/high potential**
- ✓ Provides supplementary quality check on candidates
- ✓ Emphasises skills and potential over experience
- ✓ Talent/high potential has greater access to opportunities
- ⚠ Hiring Managers' (HMs) persistent preference for high functional skills making the framework redundant
- ⚠ Scepticism from HM's around calibrated ratings
- ⚠ Gaps in data mean it is not always possible to prioritise talented candidates as some may not have been appropriately flagged

2. Identify talent: conduct internal mapping to find strong candidates for key roles

- ✓ Strong business appetite for this approach - used for a range of roles Director and Band 5 roles across TfL
- ✓ External talent mapping approach has provided strong hires demonstrating a need to replicate internally
- ⚠ Missing calibrated scores means that the best TfL talent is missed and often not in the right roles at the right time
- ⚠ Can only search on role title/business area, not skills. This limits outputs – no hires directly resulting from this approach yet

Examples of roles: 2 x Directors in City Planning / Director of Vision Zero, Head of Asset Strategy - LU

3. Salary benchmarking: compare offers to talent/high potential in similar roles to ensure pay parity

- ✓ Reduced risk of unequal or unfair pay; in particular helps to close gender pay gap at leadership level.
- ✓ Provides an additional comparison point against external market data.
- ⚠ Lack of governance on pay setting. Also pay increases are not always appropriate; for example development secondments where experience is the reward
- ⚠ Salaries are governed by external factors such as market pay and City Hall. This is not always in line with internal rates



Local secondments: success stories

Director in Surface

Talent rating at time of move: Top Leadership Talent
Previous / substantive role: Band 5 role in a different area of Surface

- Joined TfL as Band 5 within Surface
- Appointed to Director role on a local secondment after 12 months in Band 5 role
- Formally appointed to the Director of role following post-transformation open recruitment process



'Head of' role in LU (Band 5)

Talent rating at time of move: Top Leadership Talent
Previous / substantive role: Band 4 in Surface

- Applied for a Band 5 role in LU - shortlisted based on CV and Maximising Potential rating
- Not successful for this role but was offered local secondment to current role for 6 months as a result of her interview
- Appointed to the role formally following an open recruitment process



WITHIN FUNCTION

CROSS FUNCTION

Andre Harlock – Head of Customer Service, LU (Band 5)

Talent rating at time of move: Top Leadership Talent
Previous / substantive role: Head of Power Delivery (Band 5) - LU

- Recruited into Head of Power due to strong leadership skills rather than technical knowledge or capability
- Since joining has built a reputation as a strong leader with excellent potential
- Recently locally seconded to a lateral move in order to broaden skills set and help develop his career



LATERAL MOVE



Lateral move cross functionally: Case study missing!

Greater visibility of available skills in the talent community and a removal of the stigma around lateral moves will enable cross-functional lateral moves

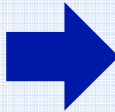
These moves are a great opportunity for us to develop our talent giving them both depth & breadth



Recommendations



Align talent management to business priorities
Talent discussions need to be a regular/quarterly agenda item in existing meetings or through the creation of talent boards at a local and TfL wide level.



Business led talent management
Talent should be added as a viz board / scorecard measure and completion rates should to be rolled out as a performance measure. In future state, a measure to align talent to diversity and succession planning should be used



Engagement & communication
Ensure that the in-scope population are clear on each individual's role in Maximising Potential and the potential career impact of ratings. Also work to remove the stigma of lateral moves by showcasing success stories. This will help to ensure better quality conversations, raise awareness of career development routes, and improve the applicability of the MP tool.



Self entry
Employees should input their own data into the tool (validated by line managers) and talent/high potential should create their own talent profiles using skills codes aligned to the workforce plan.



Line manager capability
Line Manager engagement and capability should be improved by mandating MP training for all line managers and include it in senior manager induction programmes.



Skills focus
Adopt a model based on transferrable skills in place of functional or technical knowledge and experience to enable more cross functional moves.



Development moves
Use development secondments to broaden and enhance talent skills sets. All short-term appointments to be ring-fenced for talent/high potential senior managers and directors and managed by Executive Recruitment. Also move talent every three years through coordinated talent exchanges



Talent priority
Further roll out of the automatic shortlisting pilot in LU and MPD (to broader areas and at senior level). Executive Recruitment to help shape this initiative. Talent/high potential should always be guaranteed an interview when applying to roles.



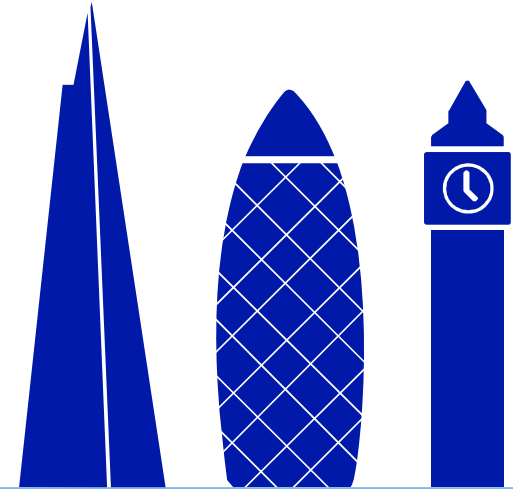
Technical development opportunities.
Where there is a need for technical skills (such as operational roles), management should identify in-house expertise and how they can develop others. In addition, apprenticeships could be offered first to those identified as specialist talent



Leverage our values through middle managers.
Use our largest population of talent – middle managers – to embed organisational values. This group have the ability to reach all levels of the organisation and are vital for successful engagement with the values.



Appendix



Driving diversity through talent

Activities that initiated from Maximising Potential

- A leadership development programme has been designed and introduced – Leader Led Learning – for those identified as talent
- Positive action initiatives (such as Mentoring from the LLL programme) in business areas where there is under presentation
- In August 2017 we launched an automatic shortlisting pilot for employees identified as talent/high potential for Band 3s (manager grade and equivalent) in LU Operations. This means that people identified as talent will be fast-tracked to the first stage of assessment when applying for sideways or appropriate ‘one-up’ promotional moves. The aim is to promote internal mobility and development so that our people reach their full potential. This population includes proportionally high levels of female and BAME talent; if we foster this talent we can work towards a more diverse longer term talent pipeline
- 10% of the Band 3 women identified as talent through Maximising Potential were selected for the ‘Our Time: Supporting Future Leaders’ programme - a new initiative to support more women in the GLA group into leadership positions and help close the gender pay gap. This programme is expected to continue and will be expanded to include BAME talent
- A cross company mentoring programme for BAME talent was developed with Fujitsu to support the development of Band 3 talent in Tech and Data. Plans are in place to expand this programme further.



Year-end 2018

TfL's Talent Framework has been rolled out to 19% of the workforce

Senior Managers (SM) (Band 4s and above)

- Maximising Potential is now a business as usual activity aligned to the performance review lifecycle
- 72% of all senior managers (720/1000) were calibrated in year-end 2017/18

Middle Managers (MM) (Band 3s)

- Launched for all LU Band 3s in 2016/17. For this area, talent conversations have become BAU
- Exco have agreed that Maximising Potential is rolled out to all Band 3s by 2020
- By year-end 2017/18, 38% (1631/4316) of the Band 3 population were in scope for Maximising Potential. The business areas in scope were agreed by HR delivery and the business
- Of this population 63% (1032/1631) of the Band 3 population were calibrated
- Highest engagement was in Professional Services at 70% with lowest levels of completion in Major Projects Directorate (MPD delivery) at 47% (*LU at 55% and Surface have not rolled out to Band 3s*)

Operational and Support roles (Bands 1, 2 and equivalent roles)

- Career conversations piloted in Fleet Maintenance in 2016/17 and has now been launched in Facilities Operations, MPD and Strategy & Network Development (LU)
- Of this population 72% (934) had career conversations and were calibrated in March 2018
- Highest engagement was in Fleet Maintenance at 78% with lowest levels of completion in MPD at 26%
- Due to the low engagement in MPD it was agreed that they would revisit Maximising Potential and Career Conversations for mid-year 2018/19





Contact

Staynton Brown, Director of Diversity & Inclusion and Talent

Organisation Development: Leonie Saywell

Executive Recruitment: Rebecca Foden

Strategic Resourcing: Sarah Kelly



Date: 5 December 2018

Item: Transformation Programme Update

This paper will be considered in public

1 Summary

1.1 This paper provides an update on the Transformation Programme.

2 Recommendation

2.1 **The Panel is asked to note the paper.**

3 Transformation Programme Background

3.1 We are undertaking our largest ever change programme to reduce costs and increase revenue as part of turning an operating deficit into a surplus, as set out in the TfL Business Plan.

3.2 The Programme recognises that change is continuous. Action taken to reduce our back office organisation over the last three years has realised total savings over the period of £209m and annual recurring savings of £111m. Total headcount has reduced by 1,770.

4 Current Organisational Change Activity

4.1 As part of our latest phase of Transformation, four further functions launched organisational change with staff and Trade Unions on 31 October 2018.

4.2 The functions involved are:

(a) Surface Transport, Public Transport Service Planning;

(b) London Underground, Transplant;

(c) London Underground, Track; and

(d) Professional Services, Human Resources.

4.3 This involves reviewing 629 roles with a proposed reduction in posts of 26 per cent (subject to consultation) and an estimated recurring annual saving of £13.9m. We will do all we can to mitigate redundancies and retain the skills and talent we need. This includes not filling posts that are currently vacant and reducing non-permanent labour.

5 A New Business Services Function

- 5.1 To date, our cost reduction programme has largely concentrated on ‘vertical’, divisional organisational change. We are now looking at potential further cost reduction and revenue opportunities through end-to-end process and structural integration ‘across’ the organisation.
- 5.2 In addition to reviewing the four areas mentioned in 4.2 above, we have created a new Business Services function. To begin with, this is responsible for transactional processes in Finance and HR and will deliver savings of around 30 per cent through standardisation of core processes. This is a common model in many organisations and will be structured to provide the option for further transactional services to be added to it over time.
- 5.3 The Business Service function is being led by Andrew Pollins, Transformation Director. We have moved 300 staff into the new function and staff have been engaged through a series of face-to-face briefings.
- 5.4 The immediate priority is to conduct end-to-end reviews of eight core business processes. We will do this while maintaining focus on business as usual activity and will ensure our staff are fully engaged throughout. Internal Audit will provide assurance during the development of the new processes

List of appendices to this report:

None

List of Background Papers:

None

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Email: AndrewPollins@tfl.gov.uk

Safety, Sustainability and Human Resources Panel



Date: 5 December 2018

Item: Strategic Risk Management Update

This paper will be considered in public

1 Summary

- 1.1 The purpose of this paper is to provide an update to the Safety, Sustainability and Human Resources Panel on TfL's new Enterprise Risk Management Framework, the Enterprise Risk Assessment Matrix and the TfL strategic risks (Level 0), including the risks that will be reported to this Panel in future.
- 1.2 A paper is included on Part 2 of the agenda, which contains exempt supplemental information pertaining to the strategic risk deep dives. The information is exempt by virtue of paragraph 3 of Schedule 12A of the Local Government Act 1972 in that it contains information relating to the business and financial affairs of TfL that is commercially sensitive and likely to prejudice TfL's commercial position. Any discussion of that exempt information must take place after the press and public have been excluded from this meeting.

2 Recommendation

- 2.1 **The Panel is asked to note the paper.**

3 Background

- 3.1 Since early 2018 TfL has been carrying out a wide ranging review of its approach to Enterprise Risk Management, in liaison with the Board and senior management. This has included development of a consistent Enterprise Risk Management Framework (ERMF) and Enterprise Risk Assessment Matrix (ERAM), applicable across TfL, and a programme of deep dive reviews of TfL's strategic risks. Progress with this work has previously been reported to the Audit and Assurance Committee at its meetings in March, June and September.
- 3.2 The ERMF sets out the overall structure through which Enterprise Risk Management is delivered in TfL. It stipulates the elements required for better decision making, sets out the risk management methodology used in TfL, the risk escalation hierarchy and the governance and assurance arrangements in place.
- 3.3 The ERAM provides a consistent approach to assessing the probability that a risk will materialise and measuring the impact of the risk by reference to four impact categories.

- 3.4 The final versions of the ERMF and the ERAM were approved by the TfL Executive Committee at its meeting on 8 August 2018. These are attached as Appendices 1 and 2.
- 3.5 We developed a template to capture strategic risk information on one page. This includes specific causes and consequences, quantification of financial impact ranges, provision for recording of insurance information, current and target risk assessments against risk tolerance levels using the ERAM, key risk indicators (KRIs) which provides a means of linking risk to performance of scorecard measures, preventative and corrective controls, assurance assessments and further actions required. The template is attached as Appendix 3.
- 3.6 We have concluded deep dive reviews on TfL's set of 16 level 0 strategic risks using this new template. The updated set of risks was presented to the Executive Committee on 8 August 2018 and is attached as Appendix 4. A second round of quarterly reviews and updates of the risks is now nearing completion.
- 3.7 Each strategic risk has now been assigned to a lead panel or committee, and progress on the management of strategic risks will be reported to the respective panels and committees. The lead panel/ committee for each risk is shown in the list in Appendix 4.
- 3.8 The following risks will be reported to this Panel:
- SR1 - Achieving safety outcomes
 - SR2 - Talent attraction and retention
 - SR10 - Catastrophic event
 - SR14 - TfL's environmental impact
 - SR15 - Resilience to climate change and extreme weather

4 Next steps

- 4.1 This Panel already receives a significant amount of information which is relevant to the assessment of the risks assigned to it. The Panel is asked to consider the manner in which they would like senior management to present these risks to future meetings and any additional information it would wish to receive to support its review of the risks.
- 4.2 The Director of Safety is carrying out a full review of SR1: Achieving safety outcomes. The LU and ST Directors are being engaged in this process. SR10: Catastrophic event is also being reviewed alongside this risk to ensure they are aligned.

List of appendices to this report:

Appendix 1 - TfL's updated Enterprise Risk Management Framework (ERMF)
Appendix 2 - TfL's updated Enterprise Risk Assessment Matrix (ERAM)
Appendix 3 - Appendix 3: TfL's new Strategic Risk Template
Appendix 4 - TfL's Strategic Risks

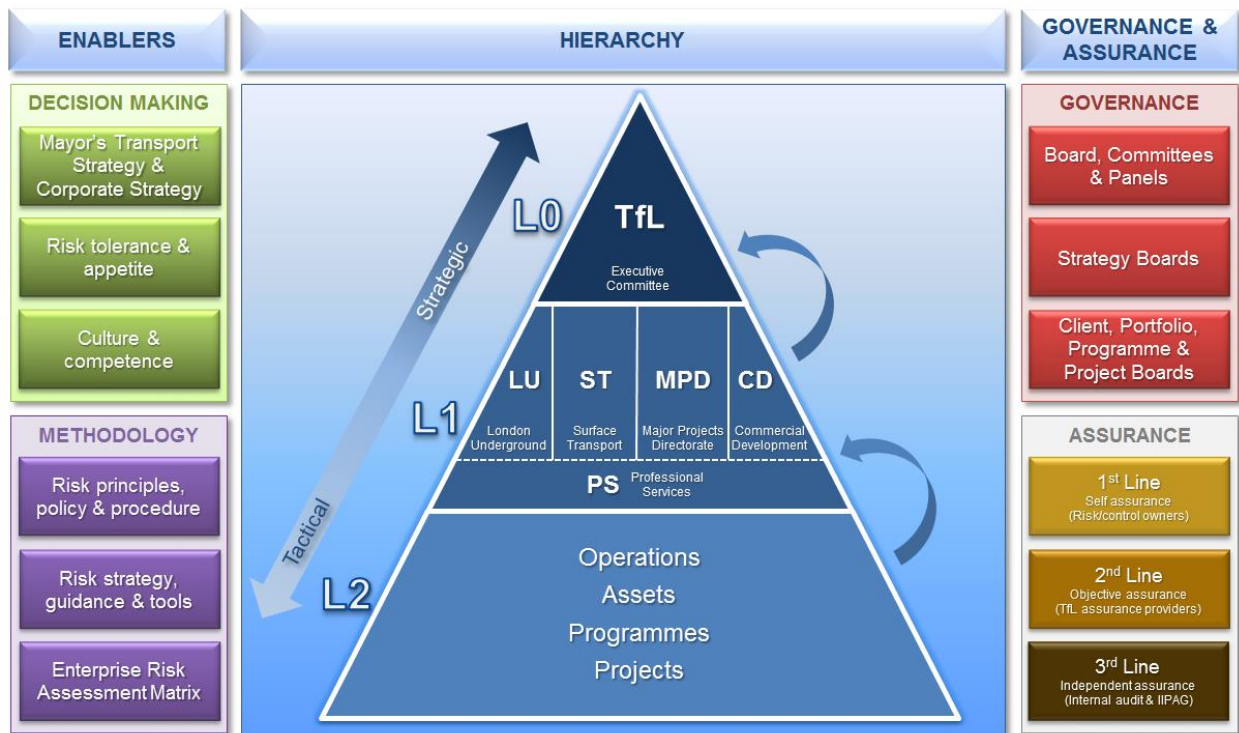
List of Background Papers:

None

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Appendix 1: TfL's updated Enterprise Risk Management Framework (ERMF)



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Appendix 2: TfL's updated Enterprise Risk Assessment Matrix (ERAM)


THREAT ASSESSMENT MATRIX	1. Very Low	2. Low	3. Medium	4. High	5. Very High
Health, Safety & Environment	Minor health issue or Minor injuries or Minor localised environmental harm	Minor health issue with potential for regulatory action or Minor injuries with potential for regulatory action or Minor localised / short term environmental harm with potential for regulatory intervention	Moderate health issue leading to regulatory action or Major injuries leading to regulatory action or Moderate environmental harm leading to potential regulatory action	Significant health issue leading to adverse regulatory outcome or Single fatality leading to adverse regulatory outcome or Significant long-term/ large scale environmental harm leading to adverse regulatory outcome	Life changing/Multiple health issues leading to prosecution or Multiple fatalities leading to prosecution or Major long-term/ large scale environmental harm leading to prosecution
Customer & Stakeholder	Small number of customers/stakeholders affected with minimal disruption to service delivery or impact to assets	Minor impact to: • service delivery • assets; or • delivery of the MTS	Moderate impact to: • service delivery • assets; or • delivery of the MTS	Major impact to: • service delivery • assets; or • delivery of the MTS	Catastrophic failure or gross negligence resulting in an inability to deliver multiple services and/or a total loss of assets or inability to deliver significant elements of the MTS
Finance	<£1m	£1m to <£5m	£5m to <£10m	£10m to <£50m	≥£50m
Stakeholder Confidence	Negative feedback from customers or stakeholders via the Customer Service Centre, media outlets, Twitter or blogs	Short term negative media coverage	Negative media coverage resulting in loss of confidence with regulator or stakeholder intrusion	Ongoing negative media coverage resulting in loss of confidence with significant regulator or stakeholder intrusion	Extensive ongoing negative media coverage resulting in major loss of confidence with significant regulator or stakeholder intrusion or loss of licence to operate

	1. Very Low	2. Low	3. Medium	4. High	5. Very High
Probability	<5%	5% to <25%	25% to <50%	50% to <80%	≥80%
Frequency	Less than once in 20 years	Less than once in 5 years	Between once in 5 and once in 2 years	More than once in 2 years	Once or more per year

OPPORTUNITY ASSESSMENT MATRIX	1. Very Low	2. Low	3. Medium	4. High	5. Very High
Health, Safety & Environment	Negligible health, safety and environmental benefits	Minimum health and wellbeing benefits or Reduction in minor injuries or Minimum environmental benefits	Moderate health and wellbeing benefits or Reduction in major injuries or Moderate environmental benefits	Significant health and wellbeing benefits or Reduction in multiple major injuries/ single fatality or Significant environmental benefits	Sustained health and wellbeing benefits or Reduction in multiple fatalities or Sustained environmental benefits
Customer & Stakeholder	Minor improvement to services.	Minor improvement to services. Enhanced relations with local stakeholders for less than a month.	Moderate improvement to services. Enhanced relations with local stakeholders for longer than a month. An element of the MTS delivered quicker and over and above expectations.	Major improvement to services. Significantly enhanced relations with key stakeholders for less than a month. Some elements of the MTS delivered quicker and over and above expectations.	Exceptional improvement to services. Significantly enhanced relations with key stakeholders for more than a month. Significant elements of the MTS delivered quicker and over and above expectations.
Finance	<£1m	£1m to <£5m	£5m to <£10m	£10m to <£50m	≥£50m
Stakeholder Confidence	Positive feedback from customers or stakeholders via the Customer Service Centre, media outlets, Twitter or blogs.	Short term positive media coverage.	Positive media coverage resulting in temporarily increased confidence from regulator or stakeholders.	Ongoing positive media coverage resulting in temporarily increased confidence from regulator or key stakeholders.	Extensive ongoing positive media coverage resulting in sustained increased confidence from regulator or key stakeholders.

	1. Very Low	2. Low	3. Medium	4. High	5. Very High
Probability	<5%	5% to <25%	25% to <50%	50% to <80%	≥80%
Frequency	Less than once in 20 years	Less than once in 5 years	Between once in 5 and once in 2 years	More than once in 2 years	Once or more per year

Appendix 3: TfL's new Strategic Risk Template



TRANSPORT FOR LONDON

TfL Confidential

Template version: 1.1
Author: Mico Lategan

RISK DETAILS

RISK ASSESSMENT

ASSESSMENT RATIONALE

STAKEHOLDERS

Risk Level:

Stakeholders:

Risk Owner (Accountable):

Responsible Manager:

Risk Title:

Risk Description:

MTS / Corporate Strategy:

Panel / Committee oversight:

Risk ID (ARIM):

Objective:

Doc Version:

Last update:

Overall Control Effectiveness Rating:

	HSE	CUSTOMER / STAKEHOLDER	FINANCE	STAKEHOLDER CONFIDENCE
Impact	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1
Probability	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1

Assessment	Score
Current	
Target	

Overall Risk Rating:

Key Risk Indicator:

Location:

PRE-RISK EVENT

POST-RISK EVENT

CAUSES	CONSEQUENCES			
Title	Description	Type	Quantified Financial Impact	
		Insurance	Minimum	
		Excess	Most Likely	
			Maximum	

CONTROLS (preventative)	CONTROL EFFECTIVENESS		
Title	Description	Owner	Assurance
			1st/2nd/3rd line
			Design
			Operation

ACTIONS	ACTIONS		
Title	Description	Owner	Status
			Start Date
			Due Date
			Due Date

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Appendix 4 – TfL’s Strategic Risks

Changed risks	
Risk	Change description
SR2 – Talent attraction and retention	New responsible manager assigned
SR14 – TfL’s impact on the environment	New responsible manager assigned
SR15 – External environment impact on TfL	New responsible manager assigned

List of Level 0 Strategic Risks					
#	Risk	Owner	Manager	Mayors Transport Strategy / Corporate Strategy	Suggested Panel / Committee
SR1	Achieving safety outcomes	Gareth Powell	Jill Collis	MTS: Healthy streets and healthy people	SSHHP
SR2	Talent attraction and retention	Tricia Wright	Hannah Delves	CS: People	SSHHP
SR3	Governance and controls suitability	Howard Carter	Andrea Clarke	MTS: All MTS outcomes	AAC
SR4	Major cyber security incident	Vernon Everitt	Shashi Verma	MTS: Healthy streets and healthy people	AAC
SR5	Technological or market developments	Vernon Everitt	Michael Hurwitz	MTS: All MTS outcomes	CS&OP
SR6	Loss of external stakeholder trust	Vernon Everitt	Matt Brown	MTS: All MTS outcomes	CS&OP
SR7	Financial sustainability	Simon Kilonback	Sarah Bradley	CS: Finance	FC
SR8	Inability to deliver predicted revenue growth	Graeme Craig	Ken Youngman	MTS: New homes and jobs	FC
SR9	Ability to meet changing demand	Simon Kilonback	Shashi Verma	MTS: New homes and jobs	FC
SR10	Catastrophic event	Mark Wild	Nigel Holness	MTS: Healthy streets and healthy people	SSHHP
SR11	Significant technology failure	Vernon Everitt	Shashi Verma	MTS: A good public transport experience	AAC
SR12	Delivery of key investment programmes	Stuart Harvey	Nick West	MTS: New homes and jobs	PIC
SR13	Operational reliability	Mark Wild	Nigel Holness	MTS: A good public transport experience	CS&OP
SR14	TfL’s impact on the environment	Alex Williams	James Ingram	MTS: Healthy streets and healthy people	SSHHP
SR15	Resilience to climate change and extreme weather	Alex Williams	Lilli Matson	MTS: All MTS outcomes	SSHHP
SR16	Opening of the Elizabeth Line	Mark Wild	Howard Smith	MTS: New homes and jobs	PIC

Panels & Committees key:	
SSHHP	Safety, Sustainability & Human Resources Panel
AAC	Audit and Assurance Committee
FC	Finance Committee
CS&OP	Customer Services & Operational Performance Panel
PIC	Programmes and Investment Committee

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Safety, Sustainability and Human Resources Panel



Date: 5 December 2018

Item: Members' Suggestions for Future Discussion Items

This paper will be considered in public

1 Summary

- 1.1 This paper presents the current forward programme for the Panel and explains how this is put together. Members are invited to suggest additional future discussion items.

2 Recommendation

- 2.1 **The Panel is asked to note the forward programme and invited to raise any suggestions for future discussion items.**

3 Forward Plan Development

- 3.1 The Board and its Committees and Panels have forward plans. The content of the plans arise from a number of sources:
- (a) Standing items for each meeting: Minutes; Matters Arising and Actions List; and any regular quarterly reports. For this Panel these are the Health, Safety and Environment Quarterly Report and the Human Resources Quarterly Report.
 - (b) Regular items which are for review and approval or noting such as the Health, Safety and Environment Annual Report.
 - (c) Items requested by Members: The Deputy Chair of TfL and the Chair of this Panel will regularly review the forward plan and may suggest items. Other items will arise out of actions from previous meetings (including meetings of the Board or other Committees and Panels) and any issues suggested under this agenda item.

4 Current Plan

- 4.1 The current plan is attached as Appendix 1. Like all plans, it is a snapshot in time and items may be added, removed or deferred to a later date.

List of appendices to this report:

Appendix 1: Safety, Sustainability and Human Resources Panel Plan.

List of Background Papers:

None

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Safety, Sustainability and Human Resources Panel Forward Planner 2018/19

Membership: Kay Carberry CBE (Chair), Dr Nina Skorupska CBE (Vice Chair), Bronwen Handyside, Dr Mee Ling Ng OBE and Val Shawcross CBE

5 December 2018		
Quarterly Health, Safety and Environment Performance Reports (to include resilience, assurance and compliance issues)	D HSE	To note.
Human Resources Quarterly Report	CPO	To note.
Graduate and Apprentice Update	CPO	To note
Maximising Potential and Succession Planning	CPO	To note
Fatigue Management Update	D HSE	To note.
Escalator Safety	D HSE	To note.
Review of CIRAS Report and Themes	D HSE	Annual review to note.
Transformation Update	D. Transformation	Standing Item
Strategic Risk Management Update	General Counsel	Standing Item

27 February 2019		
Quarterly Health, Safety and Environment Performance Reports (to include resilience, assurance and compliance issues)	D HSE	To note.
Human Resources Quarterly Report	HR Director	To note.
Bus Driver Facility Improvements	Managing Director, Surface Transport	To note. (6 monthly standing item)
River Safety Strategy	D HSE	To note.
Gender and Ethnicity Pay Gap Update	D Diversity and Inclusion	To note.
Succession Planning	CPO	To note
Update on Energy Strategy	D City Planning	To note.
Sustainability in TfL Buildings	D City Planning	To note
Transformation Update	D. Transformation	Standing Item

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